Business Services Training Package

BSB01

Volume 4A of 8

The contents of this volume refer only to the Endorsed Components of BSB01 Business Services Training Package. This volume should not be read in isolation but in the context of the Training Package as a whole Please refer to the following page for details of other volumes in this Training Package.

This volume contains units of competency for

Small Business Management
Governance (Indigenous Organisations)
Franchising
Quality Auditing

IBSA
INNOVATION & BUSINESS SKILLS AUSTRALIA

BSB01 Business Services Training Package

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Preliminary Information

Important Note to Users

Training Packages are not static documents; they are amended periodically to reflect the latest industry practices and are version controlled. It is essential that the latest version is always used.

Check the version number before commencing training or assessment

This Training Package is Version 4 – check whether this is the latest version by going to the National Training Information Service (www.ntis.gov.au) and locating information about the Training Package. Alternatively, contact Innovation and Business Skills Australia (www.ibsa.org.au) to confirm the latest version number.

Explanation of version number conventions

The primary release Training Package is Version 1. When changes are made to a Training Package, sometimes the version number is changed and sometimes it is not, depending on the extent of the change. When a Training Package is reviewed it is considered to be a new Training Package for the purposes of version control, and is Version 1. Do not confuse the version number with the Training Package's national code (which remains the same during its period of endorsement).

Explanation of the review date

The review date (shown on the title page and in the footer of each page) indicates when the Training Package is expected to be reviewed in the light of changes such as changing technologies and circumstances. The Training Package review date is not an expiry date. Endorsed Training Packages and their components remain current until they are reviewed or replaced.

Version modification history

The version details of this endorsed Training Package are in the table below. The latest information is at the top of the table.

Version	Release Date	Comments
4	**October 2004**	**Fields and domains** Version 4 includes all the fields and domains in Version 3 plus: - a new field of International Services which includes the new domain of International Trade/Business, - an expanded Business Management Services field with two new domains of Occupational Health and Safety (OHS) and Compliance Management, and - an expanded Common Business field to include 1 new unit. In total Version 4 BSB01 contains eight fields and twenty-four domains. **Qualifications added to BSB01 in Version 4** Version 4 includes all the qualifications in Version 3 plus the following six new qualifications. BSB30803 Certificate III in Business (International Trade) BSB42003 Certificate IV in Business (International Trade) BSB41603 Certificate IV in Occupational Health and Safety BSB51903 Diploma in International Business BSB51603 Diploma of Occupational Health and Safety BSB61003 Advanced Diploma of Occupational Health and Safety **Qualification Guide amendments** The Qualification Guide has been amended to include the new qualifications.

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Version	Release Date	Comments
		Units of competency This version includes all the units of competency provided in Version 3 plus the following additional fifty-seven new units of competency. BSBCMN421A Assist with compliance with OHS and other relevant laws BSBOHS401A Contribute to the implementation of a systematic approach to managing OHS BSBOHS402A Contribute to the implementation of the OHS consultation process BSBOHS403A Identify hazards and assess OHS risks BSBOHS404A Contribute to the implementation of strategies to control OHS risk BSBOHS405A Contribute to the implementation of emergency procedures BSBOHS406A Use equipment to conduct workplace monitoring BSBOHS501A Participate in the coordination and maintenance of a systematic approach to managing OHS BSBOHS502A Participate in the management of the OHS information and data systems BSBOHS503A Assist in the design and development of OHS participative arrangements BSBOHS504A Apply principles of OHS risk management BSBOHS505A Manage hazards in the work environment BSBOHS506A Monitor and facilitate the management of hazards associated with plant BSBOHS507A Facilitate the application of principles of occupational health to control OHS risk BSBOHS508A Participate in the investigation of incidents BSBOHS601A Develop a systematic approach to managing OHS BSBOHS602A Develop OHS information and data analysis and reporting and recording processes BSBOHS603A Analyse and evaluate OHS risk BSBOHS604A Apply ergonomic principles to control OHS risk BSBOHS605A Apply occupational hygiene principles to control OHS risk BSBOHS606A Develop and implement crisis management processes BSBOHS607A Advise on application of safe design principles to control OHS risk BSBOHS608A Conduct an OHS audit BSBOHS609A Evaluate an organisation's OHS performance BSBCOM401A Organise and monitor the operation of compliance management system BSBCOM402A Implement processes for the management of breaches in compliance requirements BSBCOM403A Promote and liaise on compliance requirements, systems and related issues BSBCOM501A Identify and interpret compliance requirements BSBCOM502A Evaluate and review compliance BSBCOM503A Develop processes for the management of breaches in compliance requirements BSBCOM504A Create a culture of compliance within an organisation BSBCOM601A Research compliance requirements and issues BSBCOM602A Develop and create compliance requirements BSBCOM603A Plan and establish compliance management systems BSBINT301A Apply knowledge of the international trade environment to complete work BSBINT302A Apply knowledge of legislation relevant to international trade to complete work BSBINT303A Organise the importing and exporting of goods BSBINT304A Assist in the international transfer of services BSBINT305A Prepare business documents for the international trade of goods BSBINT306A Apply knowledge of international finance and insurance to complete work requirements BSBINT401A Research international business opportunities BSBINT402A Market goods and services internationally BSBINT403A Research international markets BSBINT404A Implement international client relationship strategies BSBINT405A Apply knowledge of import and export international conventions, laws and finance BSBINT406A Promote compliance with legislation BSBINT407A Prepare business advice on export Free on Board Value BSBINT408A Prepare business advice on the taxes and duties for international trade transactions

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Version	Release Date	Comments
		BSBINT409A Plan for international trade BSBINT501A Profile international markets BSBINT502A Analyse consumer behaviour for specific international markets BSBINT503A Analyse data from international markets BSBINT504A Forecast international market and business needs BSBINT505A Build international client relationships BSBINT506A Build international business networks BSBINT507A Report on finances related to international business BSBINT508A Promote products and services to international markets
3	**March 2004**	Version 3 of BSB01 Business Services Training Package included the seven fields and twelve domains developed in Phase One (see version 1 & 2 notes below) together with the extensions to fields, additional domains, new units of competency and new and replacement qualifications developed in Phase Two as described below. **Fields expanded in Phase Two** ***Common Business*** – expanded to incorporate units of competency under additional areas (business communication; generalist marketing; first aid; project management; risk management; customer service; diversity and knowledge management). ***Business Administration Services*** – expanded to incorporate units of competency and qualifications in two new domains – Purchasing and Medical Administration. ***Business Management Services***– expanded to incorporate units of competency and qualifications in three new domains – Project Management, Franchising, Quality Auditing, and to provide additional Strategic Management units. ***Human Resources Management*** – expanded to incorporate units of competency and qualifications in two new domains – Unionism and Employment Services, and to provide additional Human Resources units. ***Business Development*** – expanded to incorporate additional units of competency for the Marketing domain. **Domains developed in Phase Two** Purchasing Medical Administration Project Management Franchising Unionism Employment Services Quality Auditing Frontline Management (review only) **Qualifications added to BSB01 in Phase Two** BSB30504 Certificate III in Business (Frontline Management) BSB30704 Certificate III in Business (Medical Administration) BSB41004 Certificate IV in Business (Frontline Management) BSB41404 Certificate IV in Business (Purchasing) BSB41504 Certificate IV in Project Management BSB41704 Certificate IV in Business (Franchising) BSB41804 Certificate IV in Unionism BSB41904 Certificate IV in Business (Employment Services) BSB51004 Diploma of Business (Frontline Management) BSB51404 Diploma of Business (Purchasing) BSB51504 Diploma of Project Management BSB51704 Diploma of Business (Franchising) BSB51804 Diploma of Unionism BSB51904 Diploma of Business (Quality Auditing) BSB60904 Advanced Diploma of Project Management **Deleted/replaced qualifications** The Frontline Management qualifications from BSB01 Versions 1 & 2 – BSB30501 Certificate III in Frontline Management, BSB41001 Certificate IV in Business (Frontline Management) and BSB51001 Diploma of Business (Frontline Management) are now replaced by new frontline qualifications at the same qualification as shown in the list above. **Qualifications Framework amendments** The Qualifications Framework has been amended to include the new qualifications, provide advice about replaced qualifications and provide specific packaging rules for three of the new qualifications – BSB41504 Certificate IV in Project Management, BSB51504 Diploma of Project Management, BSB60904 Advanced Diploma of Project Management – these have different rules and structure to the rest of the qualifications in BSB01.

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Version	Release Date	Comments
		Deleted/replaced units of competency • BSBFLM302A Support leadership in the workplace (deleted) • BSBFLM304A Participate in work teams (deleted) Because of overlap these units were replaced with a new unit – BSBFLM312A Contribute to team effectiveness • BSBFLM402A Show leadership in the workplace (deleted) • BSBFLM404A Lead work teams (deleted) Because of overlap these units were replaced with a new unit – BSBFLM412A Promote team effectiveness • BSBFLM502A Provide leadership in the workplace (deleted) • BSBFLM504A Facilitate work teams (deleted) Because of overlap these units were replaced with a new unit – BSBFLM512A Ensure team effectiveness **Imported units of competency** The following units of competency included in this version were imported from other Training Packages THHGLE09B Manage workplace diversity CHCAD1C Advocate for clients CHCCS1B Deliver and monitor service to clients CHCCS401A Facilitate cooperative behaviour CHCES302A Work with government in a purchaser provider relationship CHCES304A Deliver recruitment services CHCES305A Monitor New Apprenticeships arrangements CHCES402A Deliver New Apprenticeship services CHCES301A Work in the Employment Services area CHCCAR501A Provide careers guidance CHCES303A Use labour market information CHCCM2C Establish and monitor a case plan CHCES406A Provide job search support CHCCM4B Promote high quality case management CHCORG29A Provide coaching and motivation CHCCS2C Deliver and develop client service CHCCD12C Apply a community development framework CHCCS3C Coordinate the provision of services and programs CHCCS402A Respond holistically to complex client issues CHCCS5B Identify and address specific client needs CHCCS405A Work effectively with culturally diverse clients and co-workers CHCES405A Monitor service performance in a purchaser provider relationship with government CHCDIS8B Support people with disabilities as workers CHCCS6B Assess and deliver services to clients with complex needs CHCDIS9B Maximise participation in work by people with disabilities CHCDIS18A Support students with special needs CHCES502A Research and report on labour market information CHCES401A Analyse and apply labour market information CHCCS4C Manage the delivery of quality client service CHCES403A Develop and monitor employment plans CHCDIS11B Coordinate disability work CHCES404A Promote clients to employers CHCES501A Manage service delivery in a purchaser-provider relationship with government CHCES501A Manage service delivery in a purchaser-provider relationship with government PSPGOV603A Develop a tender submission LGACOM409A Prepare tender documents PSPPROC602A Direct management of contracts PSPPROC702A Establish the procurement context
2	**1 May 2002**	**Addition of e-Business field** Version 2 added the new field of e-Business involving fifty-nine new units of competency and eight new qualifications to BSB01. The development of this field of BSB01 was part of the Phase One work but endorsed later than the bulk of Phase One development.

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Version	Release Date	Comments
1	**3 September 2001**	**Fields covered by BSB01 Business Services Training Package Version 1** Version 1 reflected Phase One of the development of the Business Services Training Package (less e-Business field – see Version 2 note above) and included the following fields and domains. • Common Business • Business Administration Services • Business Information Services • Business Management Services • Human Resource Management • Business Development **Domains developed in Phase One:** • Specialist Administration • Legal Services • Recordkeeping • Frontline Management • Governance (Indigenous Organisations) • Small Business Management • Strategic Management • Human Resources • Assessment & Workplace Training (included as part of BSB01) • Advertising • Marketing • Sales

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Summary of qualifications in BSB01 Business Services Training Package

All the Australian Qualifications Framework (AQF) qualifications in BSB01 are listed below.

CERTIFICATE I
BSB10101 Certificate I in Business

CERTIFICATE II
BSB20101 Certificate II in Business

CERTIFICATE III
BSB30101 Certificate III in Business
BSA30200 Certificate III in Business (Legal Administration)
BSB30201 Certificate III in Business Administration
BSB30301 Certificate III in Business (Sales)
BSB30401 Certificate III in Business (Recordkeeping)
BSB30503 Certificate III in Business (Frontline Management)
BSB30601 Certificate III in e-Business
BSB30703 Certificate III in Business (Medical Administration)
BSB30803 Certificate III in Business (International Trade)

CERTIFICATE IV
BSB40101 Certificate IV in Business
BSB40201 Certificate IV in Business Administration
BSB40301 Certificate IV in Business (Recordkeeping)
BSB40401 Certificate IV in Business (Small Business Management)
BSB40501 Certificate IV in Business Development
BSB40601 Certificate IV in Business (Advertising)
BSB40701 Certificate IV in Business (Marketing)
BSB40801 Certificate IV in Business (Human Resources)
BSB40901 Certificate IV in Business (Governance)
BSB41003 Certificate IV in Business (Frontline Management)
BSB41101 Certificate IV in Business Management
BSA40200 Certificate IV in Business (Legal Services)
BSB41201 Certificate IV in e-Business
BSB41301 Certificate IV in e-Business Development
BSB41403 Certificate IV in Business (Purchasing)
BSB41503 Certificate IV in Project Management
BSB41703 Certificate IV in Business (Franchising)
BSB41803 Certificate IV in Unionism
BSB41903 Certificate IV in Business (Employment Services)
BSB42003 Certificate IV in Business (International Trade)
BSB41603 Certificate IV in Occupational Health and Safety

DIPLOMA
BSB50101 Diploma of Business
BSB50201 Diploma of Business Administration
BSB50301 Diploma of Business (Recordkeeping)
BSB50401 Diploma of Business Management
BSB50501 Diploma of Business Development
BSB50601 Diploma of Business (Advertising)
BSB50701 Diploma of Business (Marketing)
BSB50801 Diploma of Business (Human Resources)
BSB50901 Diploma of Business (Governance)
BSA50200 Diploma of Business (Legal Services)
BSB51003 Diploma of Business (Frontline Management)
BSB51101 Diploma of e-Business
BSB51201 Diploma of Strategic e-Business Development
BSB51301 Diploma of e-Learning
BSB51403 Diploma of Business (Purchasing)
BSB51503 Diploma of Project Management
BSB51703 Diploma of Business (Franchising)
BSB51803 Diploma of Unionism
BSB51903 Diploma of Business (Quality Auditing)
BSB51903 Diploma in International Business
BSB51603 Diploma of Occupational Health and Safety

ADVANCED DIPLOMA
BSB60101 Advanced Diploma of Business (Recordkeeping)
BSB60201 Advanced Diploma of Business Management
BSB60301 Advanced Diploma of Business (Human Resources)
BSB60401 Advanced Diploma of Business Development
BSB60501 Advanced Diploma of Business (Advertising)
BSB60601 Advanced Diploma of Business (Marketing)
BSB60701 Advanced Diploma of e-Business
BSB60801 Advanced Diploma of Strategic e-Business Development
BSB60903 Advanced Diploma of Project Management
BSB61003 Advanced Diploma of Occupational Health and Safety

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Units of competency in BSB01 Business Services Training Package

All the units of competency in BSB01 are listed below under fields and domains.

Note: Imported units are also shown in the lists below – either in the list relating to the specific domain, or in the list at the end titled 'Units imported from other Training Packages'. Where they are in the domain list they make up part of a specific qualification in that domain; where they are in the list of imported units, they can be selected according to the packaging advice in the Qualification Guide.

COMMON BUSINESS FIELD

Certificate I

BSBCMN101A	Prepare for work
BSBCMN102A	Complete daily work activities
BSBCMN103A	Apply basic communication skills
BSBCMN104A	Plan skills development
BSBCMN105A	Use business equipment
BSBCMN106A	Follow workplace safety procedures
BSBCMN107A	Operate a personal computer
BSBCMN108A	Develop keyboard skills
BSBCMN109A	Follow environmental work practices

Certificate II

BSBCMN201A	Work effectively in a business environment
BSBCMN202A	Organise and complete daily work activities
BSBCMN203A	Communicate in the workplace
BSBCMN204A	Work effectively with others
BSBCMN205A	Use business technology
BSBCMN206A	Process and maintain workplace information
BSBCMN207A	Prepare and process financial/business documents
BSBCMN208A	Deliver a service to customers
BSBCMN209A	Provide information to clients
BSBCMN210A	Implement improved work practices
BSBCMN211A	Participate in workplace safety procedures
BSBCMN212A	Handle mail
BSBCMN213A	Produce simple wordprocessed documents
BSBCMN214A	Create and use simple spreadsheets
BSBCMN215A	Participate in environmental work practices
BSBCMN216A	Create customer relationship
BSBCMN217A	Process customer feedback
BSBCMN218A	Apply basic first aid

Certificate III

BSBCMN301A	Exercise initiative in a business environment
BSBCMN302A	Organise personal work priorities and development
BSBCMN304A	Contribute to personal skill development and learning
BSBCMN305A	Organise workplace information
BSBCMN306A	Produce business documents
BSBCMN307A	Maintain business resources
BSBCMN308A	Maintain financial records
BSBCMN309A	Recommend products and services
BSBCMN310A	Deliver and monitor a service to customers
BSBCMN311A	Maintain workplace safety
BSBCMN312A	Support innovation and change
BSBCMN313A	Maintain environmental procedures
BSBCMN314A	Utilise a knowledge management system
BSBCMN315A	Work effectively with diversity
BSBCMN316A	Process customer complaints
BSBCMN317A	Meet customer needs and expectations
BSBCMN318A	Write simple documents
BSBCMN319A	Apply advanced first aid
BSBCMN320A	Maintain first aid equipment and resources

Certificate IV

BSBCMN402A	Develop work priorities
BSBCMN403A	Establish business networks
BSBCMN404A	Develop teams and individuals
BSBCMN405A	Analyse and present research information
BSBCMN406A	Maintain business technology
BSBCMN407A	Coordinate business resources
BSBCMN408A	Report on financial activity
BSBCMN409A	Promote products and services
BSBCMN410A	Coordinate implementation of customer service strategies
BSBCMN411A	Monitor a safe workplace
BSBCMN412A	Promote innovation and change
BSBCMN413A	Implement and monitor environmental policies
BSBCMN414A	Undertake marketing activities
BSBCMN415A	Manage first aid policy
BSBCMN416A	Identify risk and apply risk management processes
BSBCMN417A	Coordinate customer service activities
BSBCMN418A	Address customer needs
BSBCMN419A	Manage projects
BSBCMN420A	Write complex documents
BSBCMN421A	Assist with compliance with OHS and other relevant laws

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BUSINESS ADMINISTRATION SERVICES FIELD

SPECIALIST ADMINISTRATION

Certificate III

BSBADM301A	Produce texts from shorthand notes
BSBADM302A	Produce texts from notes
BSBADM303A	Produce texts from audio transcription
BSBADM304A	Design and develop text documents
BSBADM305A	Create and use databases
BSBADM306A	Create electronic presentations
BSBADM307A	Organise schedules
BSBADM308A	Process payroll
BSBADM309A	Process accounts payable and receivable
BSBADM310A	Maintain a general ledger

Certificate IV

BSBADM401A	Produce complex texts from shorthand notes
BSBADM402A	Produce complex business documents
BSBADM403A	Develop and use complex databases
BSBADM404A	Develop and use complex spreadsheets
BSBADM405A	Organise meetings
BSBADM406A	Organise business travel
BSBADM407A	Administer projects
BSBADM408A	Prepare financial reports

Diploma

BSBADM501A	Manage the establishment and maintenance of a workgroup network
BSBADM502A	Manage meetings
BSBADM503A	Plan and manage conferences
BSBADM504A	Plan or review administration systems
BSBADM505A	Manage payroll
BSBADM506A	Manage business document design and development

LEGAL SERVICES

Certificate III

BSALPP301A	Apply knowledge of the legal system to complete tasks
BSALPP302A	Carry out search of the public record
BSALPP303A	Deliver court documentation
BSACS301A	Apply the principles of confidentiality and security within the legal environment
BSALR301A	Handle receipt and despatch of information
BSALC301A	Use legal terminology in order to carry out tasks
BSALO301A	Assist in prioritising and planning activities in a legal practice
BSALF301A	Maintain records for time and disbursements in a legal practice

Certificate IV

BSALPP401A	Prepare and produce complex legal documents
BSACS401A	Provide non-legal advice
BSALC401A	Interact with other parties
BSALC402A	Research, locate and provide legal and other information in response to requests
BSALF401A	Maintain trust accounts
BSALPL401A	Provide support in Property Law matters
BSALPL402A	Provide support in Family Law matters
BSALPL403A	Provide support in Criminal Law matters
BSALPL404A	Provide support in Commercial Law matters
FNAMERC03B	Serve legal process
BSALLG401A	Arrange documents and list exhibits for litigation support
206/01	Take instructions in relation to a transaction
206/05	Prepare and execute documents
CHCAD2A	Support the interests, rights and needs of clients within duty of care requirements
CHCCD7A	Support community resources
CHCCD3A	Meet information needs of the community
CHCCD1A	Support community participation

Diploma

BSALC501A	Run a file
BSALO501A	Perform legal research and prepare reports to meet identified needs
BSALPP501A	Obtain information from a client
BSALPP502A	Draft legally binding documents
BSALLG501A	Assist with the discovery process
BSALLG502A	Appear in court
BSALLG503A	Attend pre-trial negotiations
BSALPL501A	Cost complex files
BSALPL502A	Administer in-house mortgage practice
206/04	Negotiate with others to achieve tasks and goals
206/09	Finalise transaction
CHCCD8A	Support community action
CHCCD13A	Work within specific communities
CHCCD11A	Provide advocacy and representation

PURCHASING

Certificate III

BSBPUR301A	Purchase goods and services

Certificate IV

BSBPUR401A	Plan purchasing
BSBPUR402A	Negotiate contracts
BSBPUR403A	Conduct international purchasing

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Diploma	
BSBPUR501A	Develop, implement and review purchasing strategies
BSBPUR502A	Manage supplier relationships
BSBPUR503A	Manage international purchasing
BSBPUR504A	Manage a supply chain

MEDICAL ADMINISTRATION

Certificate II	
BSBMED201A	Use basic medical terminology
BSBMED202A	Follow OHS policies and procedures in medical office

Certificate III	
BSBMED301A	Use advanced medical terminology
BSBMED302A	Prepare and process medical accounts
BSBMED303A	Maintain patient records
BSBMED304A	Assist in controlling stocks and supplies
BSBMED305A	Apply the principles of confidentiality, privacy and security within the medical environment

Certificate IV	
BSBMED401A	Manage patient record-keeping system
BSBMED402A	Control stocks and supplies

BUSINESS INFORMATION SERVICES FIELD

RECORDKEEPING

Certificate III	
BSBRKG301A	Control records
BSBRKG302A	Undertake disposal
BSBRKG303A	Retrieve information from records
BSBRKG304A	Maintain business records

Certificate IV	
BSBRKG401A	Review the status of a record
BSBRKG402A	Provide information from and about records
BSBRKG403A	Set up a business or records system for a small office
BSBEBUS406A	Monitor and maintain records in an online environment

Diploma	
BSBRKG501A	Determine business or records system specifications
BSBRKG502A	Manage and monitor business or records systems
BSBRKG503A	Develop and maintain a classification scheme
BSBRKG504A	Develop terminology for activities and records
BSBRKG505A	Document or reconstruct a business or records system

Advanced Diploma	
BSBRKG601A	Define recordkeeping framework
BSBRKG602A	Develop recordkeeping policy
BSBRKG603A	Prepare a functional analysis for an organisation
BSBRKG604A	Determine security and access rules and procedures
BSBRKG605A	Determine records requirements to document a function
BSBRKG606A	Design a records retention and disposal schedule
BSBRKG607A	Document and monitor the record-creating context
BSBRKG608A	Plan management of records over time

BUSINESS MANAGEMENT SERVICES FIELD

SMALL BUSINESS MANAGEMENT

Certificate III	
BSBSBM301A	Research business opportunities

Certificate IV	
BSBSBM401A	Establish business and legal requirements
BSBSBM402A	Undertake financial planning
BSBSBM403A	Promote the business
BSBSBM404A	Undertake business planning
BSBSBM405A	Monitor and manage business operations
BSBSBM406A	Manage finances
BSBSBM407A	Manage a small team

FRONTLINE MANAGEMENT

Certificate III	
BSBFLM303B	Contribute to effective workplace relationships
BSBFLM305B	Support operational plan
BSBFLM306B	Provide workplace information and resourcing plans
BSBFLM309B	Support continuous improvement systems and processes
BSBFLM311B	Support a workplace learning environment
BSBFLM312A	Contribute to team effectiveness

Certificate IV	
BSBFLM403B	Implement effective workplace relationships
BSBFLM405B	Implement operational plan
BSBFLM406B	Implement workplace information system
BSBFLM409B	Implement continuous improvement
BSBFLM412A	Promote team effectiveness

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Diploma

BSBFLM501B	Manage personal work priorities and professional development
BSBFLM503B	Manage effective workplace relationships
BSBFLM505B	Manage operational plan
BSBFLM506B	Manage workplace information systems
BSBFLM507B	Manage quality customer service
BSBFLM509B	Facilitate continuous improvement
BSBFLM510B	Facilitate and capitalise on change and innovation
BSBFLM511B	Develop a workplace learning environment
BSBFLM512A	Ensure team effectiveness
BSBFLM513A	Manage budgets and financial plans within the work team
BSBFLM514A	Manage people

GOVERNANCE (INDIGENOUS ORGANISATIONS)

Certificate IV

BSBATSIL401A	Meet the roles and responsibilities of a Board member (1)
BSBATSIL402A	Use the constitution
BSBATSIC403A	Maintain and protect culture
BSBATSIM404A	Use the business plan
BSBATSIM405A	Monitor financial management and budgets
BSBATSIM406A	Manage assets
BSBATSIM407A	Plan for organisational needs
BSBATSIL408A	Manage a Board meeting
BSBATSIL409A	Manage time
BSBATSIL410A	Manage stress
BSBATSIC411A	Communicate with the community
BSBATSIM412A	Implement a business-like approach
BSBATSIM413A	Oversee business planning
BSBATSIM414A	Oversee the organisation's annual budget
BSBATSIM415A	Contribute to a positive and culturally appropriate workplace
BSBATSIW416A	Obtain and manage consultancy services
BSBATSIW417A	Select and utilise technology

Diploma

BSBATSIL501A	Meet the roles and responsibilities of a Board member (2)
BSBATSIL502A	Work with the manager
BSBATSIL503A	Manage conflict
BSBATSIM504A	Develop and implement organisational policies
BSBATSIM505A	Control organisation finances
BSBATSIM506A	Develop employment policies
BSBATSIM507A	Establish and maintain a strategic planning cycle
BSBATSIL508A	Be a community leader
BSBATSIL509A	Manage self as a Board member
BSBATSIC510A	Conduct a community meeting
BSBATSIM511A	Develop enterprise opportunities
BSBATSIM512A	Manage board competencies
BSBATSIM513A	Oversee recruitment and induction of staff
BSBATSIW514A	Represent your organisation
BSBATSIW515A	Secure funding

STRATEGIC MANAGEMENT

Diploma

BSBMGT501A	Market services and concepts to internal customers
BSBMGT502A	Manage people performance
BSBMGT503A	Prepare budgets and financial plans
BSBMGT504A	Manage budgets and financial plans
BSBMGT505A	Ensure a safe workplace
BSBMGT506A	Recruit, select and induct staff
BSBMGT507A	Manage environmental performance
BSBMGT508A	Manage risk management system
BSBMGT509A	Manage a knowledge management system
BSBMGT510A	Determine needs of customer populations
BSBMGT511A	Develop a business opportunity
BSBMGT512A	Manage relationships in a family business
BSBMGT513A	Plan for family business succession
BSBMGT514A	Plan and manage growth in a family business

Advanced Diploma

BSBMGT601A	Contribute to strategic direction
BSBMGT602A	Contribute to the development and implementation of strategic plans
BSBMGT603A	Review and develop business plans
BSBMGT604A	Manage business operations
BSBMGT605A	Provide leadership across the organisation
BSBMGT606A	Manage customer focus
BSBMGT607A	Manage knowledge and information
BSBMGT608A	Manage innovation and continuous improvement
BSBMGT609A	Manage risk
BSBMGT610A	Manage environmental management systems
BSBMGT611A	Develop risk management strategy
BSBMGT612A	Plan and implement a knowledge management system
BSBMGT613A	Review and improve a knowledge management system
BSBMGT614A	Develop and implement diversity policy

PROJECT MANAGEMENT

Certificate IV

BSBPM401A	Apply scope management techniques
BSBPM402A	Apply time management techniques
BSBPM403A	Apply cost management techniques
BSBPM404A	Apply quality management techniques

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BSBPM405A	Apply human resource management approaches
BSBPM406A	Apply communications management techniques
BSBPM407A	Apply risk management techniques
BSBPM408A	Apply contract procurement techniques

Diploma

BSBPM501A	Manage application of project integrative processes
BSBPM502A	Manage project scope
BSBPM503A	Manage project time
BSBPM504A	Manage project costs
BSBPM505A	Manage project quality
BSBPM506A	Manage project human resources
BSBPM507A	Manage project communications
BSBPM508A	Manage project risk
BSBPM509A	Manage project procurement

Advanced Diploma

BSBPM601A	Direct the integration of multiple projects/programs
BSBPM602A	Direct the scope of multiple projects/programs
BSBPM603A	Direct time management of multiple projects/programs
BSBPM604A	Direct cost management of multiple projects/programs
BSBPM605A	Direct quality management of multiple projects/programs
BSBPM606A	Direct human resources management of multiple projects/programs
BSBPM607A	Direct communications management of multiple projects/programs
BSBPM608A	Direct risk management of multiple projects/programs
BSBPM609A	Direct project procurement and contracts of multiple projects/programs

FRANCHISING

Certificate III

BSBFRA301A	Work within a franchise

Certificate IV

BSBFRA401A	Manage compliance with franchisee obligations and legislative requirements
BSBFRA402A	Establish a franchise
BSBFRA403A	Manage relationship with franchisor
BSBFRA404A	Manage a multiple site franchise

Diploma

BSBFRA501A	Establish a franchise operation
BSBFRA502A	Manage a franchise operation
BSBFRA503A	Manage establishment of new sites or regions
BSBFRA504A	Manage relationships with franchisees
BSBFRA505A	Manage closure of a franchise

QUALITY AUDITING

Certificate IV

BSBAUD401A	Prepare for a quality audit
BSBAUD402A	Participate in a quality audit

Diploma

BSBAUD501A	Initiate a quality audit
BSBAUD502A	Prepare to lead a quality audit
BSBAUD503A	Lead a quality audit
BSBAUD504A	Report on a quality audit

OHS

Certificate IV

BSBOHS401A	Contribute to the implementation of a systematic approach to managing OHS
BSBOHS402A	Contribute to the implementation of the OHS consultation process
BSBOHS403A	Identify hazards and assess OHS risks
BSBOHS404A	Contribute to the implementation of strategies to control OHS risk
BSBOHS405A	Contribute to the implementation of emergency procedures
BSBOHS406A	Use equipment to conduct workplace monitoring

Diploma

BSBOHS501A	Participate in the coordination and maintenance of a systematic approach to managing OHS
BSBOHS502A	Participate in the management of the OHS information and data systems
BSBOHS503A	Assist in the design and development of OHS participative arrangements
BSBOHS504A	Apply principles of OHS risk management
BSBOHS505A	Manage hazards in the work environment
BSBOHS506A	Monitor and facilitate the management of hazards associated with plant
BSBOHS507A	Facilitate the application of principles of occupational health to control OHS risk
BSBOHS508A	Participate in the investigation of incidents

Advanced Diploma

BSBOHS601A	Develop a systematic approach to managing OHS
BSBOHS602A	Develop OHS information and data analysis and reporting and recording processes
BSBOHS603A	Analyse and evaluate OHS risk
BSBOHS604A	Apply ergonomic principles to control OHS risk

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BSBOHS605A	Apply occupational hygiene principles to control OHS risk
BSBOHS606A	Develop and implement crisis management processes
BSBOHS607A	Advise on application of safe design principles to control OHS risk
BSBOHS608A	Conduct an OHS audit
BSBOHS609A	Evaluate an organisation's OHS performance

COMPLIANCE MANAGEMENT

Certificate IV

BSBCOM401A	Organise and monitor the operation of compliance management system
BSBCOM402A	Implement processes for the management of breaches in compliance requirements
BSBCOM403A	Promote and liaise on compliance requirements, systems and related issues

Diploma

BSBCOM501A	Identify and interpret compliance requirements
BSBCOM502A	Evaluate and review compliance
BSBCOM503A	Develop processes for the management of breaches in compliance requirements
BSBCOM504A	Create a culture of compliance within an organisation

Advanced Diploma

BSBCOM601A	Research compliance requirements and issues
BSBCOM602A	Develop and create compliance requirements
BSBCOM603A	Plan and establish compliance management systems

HUMAN RESOURCES MANAGEMENT FIELD

HUMAN RESOURCES

Certificate IV

BSBHR401A	Administer human resource systems
BSBHR402A	Recruit and select personnel
BSBHR403A	Process human resource documents and inquiries
BSBHR404A	Co-ordinate human resource services
BSBHR405A	Implement industrial relations procedures

Diploma

BSBHR501A	Manage human resource consultancy services
BSBHR502A	Manage human resource management information systems
BSBHR503A	Manage performance management systems
BSBHR504A	Manage industrial relations policies and processes
BSBHR505A	Manage remuneration and employee benefits
BSBHR506A	Manage recruitment selection and induction processes
BSBHR507A	Manage separation/termination
BSBHR508A	Manage work/life skills
BSBHR509A	Manage rehabilitation/return to work programs
BSBHR510A	Plan mediation processes
BSBHR511A	Implement mediation processes
BSBHR512A	Manage industrial relations initiatives
BSBHR513A	Manage industrial relations disputes

Advanced Diploma

BSBHR601A	Manage change
BSBHR602A	Manage human resource strategic planning
BSBHR603A	Contribute to organisation development
BSBHR604A	Manage employee relations
BSBHR605A	Contribute to organisation design

ASSESSMENT AND WORKPLACE TRAINING

Certificate IV

BSZ401A	Plan assessment
BSZ402A	Conduct assessment
BSZ403A	Review assessment
BSZ404A	Train small groups
BSZ405A	Plan and promote a training program
BSZ406A	Plan a series of training sessions
BSZ407A	Deliver training sessions
BSZ408A	Review training

Diploma

BSZ501A	Analyse competency requirements
BSZ502A	Design and establish the training system
BSZ503A	Design and establish the assessment system
BSZ504A	Manage the training and assessment system
BSZ505A	Evaluate the training and assessment system
BSZ506A	Develop assessment procedures
BSZ507A	Develop assessment tools
BSZ508A	Design training courses

UNIONISM

Certificate IV

BSBUN401A	Develop and implement an organising plan
BSBUN402A	Empower members
BSBUN403A	Communicate with workers

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BSBUN404A	Promote equality of opportunity and fair treatment for all members
BSBUN405A	Promote the values, principles and policies of the union
BSBUN406A	Undertake bargaining
BSBUN407A	Provide advice to union members and undertake negotiations
BSBUN408A	Prepare cases for the union
BSBUN409A	Appear before tribunals and represent members

Diploma

BSBUN501A	Develop, manage and review campaigns and projects
BSBUN502A	Represent the union in key forums
BSBUN503A	Coordinate case preparation and research
BSBUN504A	Advocate and present cases for members
BSBUN505A	Develop, implement and manage union policy
BSBUN506A	Coordinate research and analysis

EMPLOYMENT SERVICES

Certificate IV

BSBEMS401A	Develop and implement business development strategies to expand client base
BSBEMS402A	Develop and implement strategies to source and assess candidates
BSBEMS403A	Develop and provide employment management services to candidates
BSBEMS404A	Manage the recruitment process for client organisations

BUSINESS DEVELOPMENT FIELD

ADVERTISING

Certificate IV

BSBADV401A	Profile a target audience
BSBADV402A	Conduct pre-campaign testing
BSBADV403A	Monitor advertising production
BSBADV404A	Schedule advertisements

Diploma

BSBADV501A	Develop a creative concept
BSBADV502A	Write persuasive copy
BSBADV503A	Coordinate advertising research
BSBADV504A	Create advertisements
BSBADV505A	Evaluate and recommend 'above the line' media options
BSBADV506A	Evaluate and recommend 'below the line' media options
BSBADV507A	Develop a media plan
BSBADV508A	Present an advertising campaign

Advanced Diploma

BSBADV601A	Create an advertising brief
BSBADV602A	Develop an advertising campaign
BSBADV603A	Manage advertising production
BSBADV604A	Execute an advertising campaign
BSBADV605A	Evaluate campaign effectiveness

MARKETING

Certificate III

BSBMKG301A	Research the market
BSBMKG302A	Identify marketing opportunities
BSBMKG303A	Draft an elementary marketing audit report
BSBMKG304A	Assist with market research

Certificate IV

BSBMKG401A	Profile the market
BSBMKG402A	Analyse consumer behaviour for specific markets
BSBMKG403A	Analyse market data
BSBMKG404A	Forecast market and business needs
BSBMKG405A	Implement and monitor marketing activities
BSBMKG406A	Build client relationships
BSBMKG407A	Make a presentation
BSBMKG408A	Conduct market research

Diploma

BSBMKG501A	Evaluate marketing opportunities
BSBMKG502A	Establish and adjust the marketing mix
BSBMKG503A	Develop a marketing communications plan
BSBMKG504A	Implement a marketing solution
BSBMKG505A	Review marketing performance
BSBMKG506A	Plan market research

Advanced Diploma

BSBMKG601A	Develop marketing strategies
BSBMKG602A	Develop a marketing plan
BSBMKG603A	Manage the marketing process
BSBMKG604A	Develop and manage direct marketing campaigns
BSBMKG605A	Evaluate international marketing opportunities
BSBMKG606A	Manage international marketing programs
BSBMKG607A	Manage market research

SALES

Certificate III

BSBSLS301A	Develop product knowledge
BSBSLS302A	Identify sales prospects
BSBSLS303A	Present a sales solution
BSBSLS304A	Secure prospect commitment
BSBSLS305A	Support post-sale activities
BSBSLS306A	Self-manage sales performance

Certificate IV

BSBSLS401A	Lead a sales team

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E-BUSINESS FIELD

e-BUSINESS

Certificate III

BSBEBUS301A	Search and assess online business information
BSBEBUS302A	Use and maintain electronic mail system
BSBEBUS303A	Participate in a virtual community
BSBEBUS304A	Buy online
BSBEBUS305A	Sell online
BSBEBUS306A	Make payments online
BSBEBUS307A	Bank online
BSBEBUS308A	Maintain online business records
BSBEBUS309A	Undertake e-learning
BSBEBUS310A	Work effectively as an off-site e-worker

Certificate IV

BSBEBUS401A	Conduct online research
BSBEBUS402A	Implement e-correspondence policies
BSBEBUS403A	Communicate electronically
BSBEBUS404A	Trade online
BSBEBUS405A	Conduct online financial transactions
BSBEBUS406A	Monitor and maintain records in an online environment
BSBEBUS407A	Review and maintain the business aspects of a website
BSBEBUS408A	Implement and monitor delivery of quality customer service online
BSBEBUS409A	Lead and facilitate e-staff

Diploma

BSBEBUS501A	Evaluate e-business opportunities
BSBEBUS502A	Evaluate e-business models
BSBEBUS503A	Design an e-business
BSBEBUS504A	implement an e-business strategy
BSBEBUS505A	Implement new technologies for business
BSBEBUS506A	Plan and develop a business website
BSBEBUS507A	Manage the business aspects of a website
BSBEBUS508A	Build a virtual community
BSBEBUS509A	Implement e-business outsourcing arrangements
BSBEBUS510A	Manage e-business outsourcing
BSBEBUS511A	Implement a knowledge management strategy for an e-business
BSBEBUS512A	Implement electronic communication policy
BSBEBUS513A	Plan e-learning
BSBEBUS514A	Implement e-learning
BSBEBUS515A	Facilitate e-learning
BSBEBUS516A	Manage online purchasing
BSBEBUS517A	Manage online inventory
BSBEBUS518A	Manage an e-business supply chain
BSBEBUS519A	Manage online sales systems
BSBEBUS520A	Manage online payments systems
BSBEBUS521A	Plan e-marketing communications
BSBEBUS522A	Conduct e-marketing communications
BSBEBUS523A	Investigate and plan e-work business solutions
BSBEBUS524A	Implement and manage e-working arrangements

Advanced Diploma

BSBEBUS601A	Develop an e-business strategy
BSBEBUS602A	Develop an action plan for an e-business strategy
BSBEBUS603A	Evaluate new technologies for business
BSBEBUS604A	Develop a business website strategy
BSBEBUS605A	Identify and implement e-business innovation
BSBEBUS606A	Manage e-business risk
BSBEBUS607A	Develop e-business outsourcing policy and guidelines
BSBEBUS608A	Develop and implement online information policy
BSBEBUS609A	Develop a knowledge management strategy for an e-business
BSBEBUS610A	Develop electronic communication policy
BSBEBUS611A	Develop and implement e-business human resource management policy and practices
BSBEBUS612A	Develop and implement e-work policy and guidelines
BSBEBUS613A	Develop online customer service strategies
BSBEBUS614A	Build online customer loyalty
BSBEBUS615A	Use online systems to support managerial decision-making
BSBEBUS616A	Plan an e-business supply chain

INTERNATIONAL SERVICES FIELD

INTERNATIONAL TRADE / BUSINESS

Certificate III

BSBINT301A	Apply knowledge of the international trade environment to complete work
BSBINT302A	Apply knowledge of legislation relevant to international trade to complete work
BSBINT303A	Organise the importing and exporting of goods
BSBINT304A	Assist in the international transfer of services
BSBINT305A	Prepare business documents for the international trade of goods
BSBINT306A	Apply knowledge of international finance and insurance to complete work requirements

Certificate IV

BSBINT401A	Research international business opportunities
BSBINT402A	Market goods and services internationally

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BSBINT403A	Research international markets
BSBINT404A	Implement international client relationship strategies
BSBINT405A	Apply knowledge of import and export international conventions, laws and finance
BSBINT406A	Promote compliance with legislation
BSBINT407A	Prepare business advice on export Free on Board Value
BSBINT408A	Prepare business advice on the taxes and duties for international trade transactions
BSBINT409A	Plan for international trade

Diploma

BSBINT501A	Profile international markets
BSBINT502A	Analyse consumer behaviour for specific international markets
BSBINT503A	Analyse data from international markets
BSBINT504A	Forecast international market and business needs
BSBINT505A	Build international client relationships
BSBINT506A	Build international business networks
BSBINT507A	Report on finances related to international business
BSBINT508A	Promote products and services to international markets

IMPORTED UNITS FOR THE E-BUSINESS BLENDED QUALIFICATIONS

ICAITAD043A	Develop and present a feasibility report
ICAITAD051B	Develop client user interface
ICAITAD052B	Design IT security framework
ICAITAD053B	Design system security and controls
ICAITAD054B	Validate quality and completeness of design
ICAITAD138A	Determine acceptable solution providers for e-business projects
ICAITAD141A	Design dynamic websites to meet technical requirements
ICAITAD146A	Develop web site information architecture
ICAITAD147A	Determine that data base functionality and scalability suits business requirements
ICAITAD148A	Identify new technology models for e-business
ICAITAD149A	Implement quality assurance process for e-commerce solutions
ICAITAD150A	Evaluate vendor products and equipment
ICAITAD151A	Gather data to identify business requirements
ICAITAD152A	Implement risk management processes
ICAITAD156A	Review and plan for risk to e-commerce solution providers
ICAITAD157A	Develop technical requirements for an e-commerce solution
ICAITAD158A	Translate the business needs into technical requirements
ICAITB059A	Develop detailed technical design
ICAITB073B	Pilot the developed system
ICAITB074B	Monitor the system pilot
ICAITD208A	Writing for the World Wide Web
ICAITS108B	Complete database backup and recovery
ICAITS116A	Undertake capacity planning
ICAITS119B	Monitor and administer system security
ICAITS191A	Maintain web site performance
ICAITS194A	Ensure basic web site security
ICAITS199A	Manage E-commerce websites
ICAITS200A	Monitor traffic and compile specified site traffic reports
ICAITS202A	Ensure privacy for users
ICAITS203A	Choose a web hosting service
ICAITSP039B	Match the IT needs with the strategic direction of the enterprise
ICAITSP040A	Manage and review contracts
ICAITT183A	Confirm accessibility of web site design
ICAITT184A	Ensure site usability
ICAITTW214A	Maintain ethical conduct
ICAITU127B	Support system software
ICAITU205A	Select and employ software and hardware multimedia tools
CUFIMA01A	Produce and manipulate digital images
CUFIMA04A	Create 3D digital animation
CUFIMA05A	Create 3D digital models and images
CUFMEM06A	Design a multimedia product
CUFMEM07A	Apply principles of visual design and communication to the development of a multimedia product
CUFMEM08A	Apply principles of instructional design to a multimedia product
CUFMEM10A	Design and create a multimedia interface
CUFMEM11A	Design the navigation for a multimedia product
CULLB412A	Undertake cataloguing activities

UNITS IMPORTED FROM OTHER TRAINING PACKAGES (SEE NOTE AT TOP OF TABLE ON PAGE 14)

Diversity

THHGLE09B	Manage workplace diversity

Employment Services

CHCAD1A	Advocate for clients
CHCCS1A	Deliver and monitor service to clients
CHCCS401A	Facilitate cooperative behaviour
CHCES302A	Work with government in a purchaser provider relationship
CHCES304A	Deliver recruitment services
CHCES305A	Monitor New Apprenticeships support services

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CHCES303A	Work within a legal and ethical framework
CHCES402A	Deliver New Apprenticeship support services
CHCES301A	Work in Employment Services area
CHCCAR501A	Provide careers guidance
CHCES303A	Use labour market information
CHCCM2A	Establish and monitor a case plan
CHCES406A	Provide job search support
CHCCM4A	Promote high quality case management
CHCORG29A	Provide coaching and motivation
CHCCS2A	Develop and deliver client service
CHCCD12B	Apply a community development framework
CHCCS3B	Coordinate the provision of services and programs
CHCCS402A	Respond holistically to client issues
CHCCS5A	Identify and address specific client issues
CHCCS405A	Work effectively with culturally diverse clients and co-workers
CHCES405A	Monitor service performance in a purchaser provider relationship with government
CHCDIS18A	Support people with disabilities as workers
CHCCS6A	Assess and deliver services to clients with complex needs
CHCDIS9B	Maximise participation in work by people with disabilities
CHCDIS8A	Work with clients intensively
CHCES502A	Research and report on labour market information
CHCES401A	Analyse and apply labour market information
CHCCS4A	Manage the delivery of quality client service
CHCES403A	Develop and monitor employment plans
CHCDIS11A	Coordinate disability work
CHCES404A	Promote clients to employers
CHCES501A	Manage service delivery in a purchaser-provider relationship with government
PSPGOV603A	Develop a tender submission

Purchasing

LGACOM409A	Prepare tender documents
PSPPROC602A	Direct management of contracts
PSPPROC702A	Establish the procurement context

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Structure of BSB01 Volumes

VOLUME 1	VOLUME 2A	VOLUME 2B	VOLUME 3	VOLUME 4A	VOLUME 4B	VOLUME 4C
Introduction Qualification Guide Assessment Guidelines	**Units of Competency** **Field:** BUSINESS ADMINISTRATION SERVICES **Domain:** Legal Services Medical Administration Purchasing	**Units of Competency** **Field:** BUSINESS ADMINISTRATION SERVICES **Domain:** Specialist Administration	**Units of Competency** **Field:** BUSINESS INFORMATION SERVICES **Domain:** Recordkeeping	**Units of Competency** **Field:** BUSINESS MANAGEMENT SERVICES **Domain:** Small Business Management Governance (Indigenous Organisations) Franchising Quality Auditing	**Units of Competency** **Field:** BUSINESS MANAGEMENT SERVICES **Domain:** Project Management	**Units of Competency** **Field:** BUSINESS MANAGEMENT SERVICES **Domain:** Strategic Management Frontline Management
Units of Competency **Field:** COMMON BUSINESS **Domain:** Common	**VOLUME 4D** **Units of Competency** **Field:** BUSINESS MANAGEMENT SERVICES **Domain:** Occupational Health & Safety Compliance Management	**VOLUME 5A** **Units of Competency** **Field:** HUMAN RESOURCE MANAGEMENT **Domain:** Human Resources Employment Services Unionism	**VOLUME 5B** **Units of Competency** **Field:** HUMAN RESOURCE MANAGEMENT **Domain:** Assessment and Workplace Training *[This domain will be replaced after the Training And Assessment Training Package is endorsed]*	**VOLUME 6** **Units of Competency** **Field:** E-BUSINESS **Domain:** E-Business	**VOLUME 7** **Units of Competency** **Field:** BUSINESS DEVELOPMENT **Domain:** Advertising Sales Marketing	**VOLUME 8** **Units of Competency** **Field:** INTERNATIONAL SERVICES **Domain:** International Trade International Business

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Competency Standards

The broad concept of industry competency concerns the ability to perform particular tasks and duties to the standard of performance expected in the workplace. Competency requires the application of specified skills, knowledge and attitudes relevant to effective participation in an industry, industry sector or enterprise.

Competency covers all aspects of workplace performance and involves performing individual tasks; managing a range of different tasks; responding to contingencies or breakdowns; and, dealing with the responsibilities of the workplace, including working with others. Workplace competency requires the ability to apply relevant skills, knowledge and attitudes consistently over time and in the required workplace situations and environments. In line with this concept of competency Training Packages focus on what is expected of a competent individual in the workplace as an outcome of learning, rather than focussing on the learning process itself.

Competency standards in industry Training Packages are determined by industry to meet identified industry skill needs. Competency standards are made up of a number of units of competency each of which describes a key function or role in a particular job function or occupation. Each unit of competency within a Training Package is linked to one or more AQF qualifications.

Contextualisation of Units of Competency by RTOs

Registered Training Organisation (RTOs) may contextualise units of competency to reflect local outcomes required. Contextualisation could involve additions or amendments to the unit of competency to suit particular delivery methods, learner profiles, specific enterprise equipment requirements, or to otherwise meet local needs. However, the integrity of the overall intended outcome of the unit of competency must be maintained.

Any contextualisation of units of competency in this endorsed Training Package must be within the bounds of the following advice. In contextualising units of competency, RTOs:

- must not remove or add to the number and content of elements and performance criteria
- may add specific industry terminology to performance criteria where this does not distort or narrow the competency outcomes
- may make amendments and additions to the range statement as long as such changes do not diminish the breadth of application of the competency and reduce its portability, and/or
- may add detail to the evidence guide in areas such as the critical aspects of evidence or resources and infrastructure required where these expand the breadth of the competency but do not limit its use.

Components of Units of Competency

The components of units of competency are summarised below, in the order in which they appear in each unit of competency.

Unit Title

The unit title is a succinct statement of the outcome of the specific unit of competency. Each unit of competency title is unique, both within and across Training Packages.

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Unit Descriptor

The unit descriptor broadly communicates the purpose of the unit of competency and the skill area it addresses. Where units of competency have been contextualised from units of competency from other endorsed Training Packages, summary information about the relationship of the units of competency is provided in the unit descriptor.

Competency Field (Optional)

The competency field either reflects the way the units of competency are categorised in the Training Package or denotes the industry sector, specialisation or function. It is an optional component of the unit of competency.

Application of the Competency

The application of the competency fleshes out the scope, purpose and operation of the unit of competency in different contexts, for example its application in the workplace.

Elements of Competency

The elements of competency are the basic building blocks of the unit of competency. They describe in terms of outcomes the significant functions and tasks that make up the competency.

Performance Criteria

The performance criteria specify the required performance in relevant tasks, roles, skills and in the applied knowledge that enables competent performance.

Range Statement

The range statement provides a context for the unit of competency, describing any variables that may apply in workplace situations.

Evidence Guide

The evidence guide is critical in assessment as it provides information to the Registered Training Organisation (RTO) and assessor about how the described competency may be demonstrated. The evidence guide does this by providing a range of evidence for the assessor to make determinations, and by providing the assessment context. The evidence guide describes:

- conditions under which competency must be assessed including variables such as the assessment environment or necessary equipment
- relationships with the assessment of any other units of competency
- suitable methodologies for conducting assessment including the potential for workplace simulation
- resource implications, for example access to particular equipment, infrastructure or situations
- how consistency in performance can be assessed over time, various contexts and with a range of evidence, and
- the required underpinning knowledge and skills

Key Competencies

All Training Packages require the integration of Key Competencies either in each unit of competency, or across a qualification, depending on industry needs and preferences.

The Key Competencies were first defined in 1992 in the project report, *Putting General Education to Work: The Key Competencies Report (Mayer Committee 1992).* The skills and

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knowledge they describe are essential for effective workplace participation and involve the sorts of capabilities commonly used by employers as selection criteria. They underpin the ability of employees to adapt to technological, organisational, societal and functional change.

The Key Competencies are generic, in that they apply to work in general, rather than to particular occupations or industries. They focus on the application of knowledge and skills in an integrated way in workplace situations. The seven Key Competencies are:

1 Collecting, analysing and organising information
The capacity to locate, sift and sort information in order to select what is required and to present it in a useful way, and evaluate both the information itself and the sources and methods used to collect it.

2 Communicating ideas and information
The capacity to communicate effectively with others using the range of spoken, written, graphic and other non-verbal means of expression.

3 Planning and organising activities
The capacity to plan and organise one's own work activities, including making good use of time and resources, sorting out priorities and monitoring one's performance.

4 Working with others in teams
The capacity to interact effectively with other people both on a one-to-one basis and in groups, including understanding and responding to the needs of a client and working effectively as a member of a team to achieve a shared goal.

5 Solving problems
The capacity to apply problem-solving strategies in purposeful ways, both in situations where the problem and the solution are clearly evident and in situations requiring creative thinking and a creative approach to achieve a desired outcome.

6 Using mathematical ideas and techniques
The capacity to use mathematical ideas, such as number and space, and techniques such as estimation and approximation, for practical purposes.

7 Using technology
The capacity to apply technology, combining the physical and sensory skills needed to operate equipment with the understanding of scientific and technological principles needed to explore and adapt systems.

Performance Levels

There are three levels of performance defined within the Key Competencies. These are stand-alone levels and do not correspond to the AQF qualification levels.

- **Performance Level 1** is concerned with the level of competence needed to undertake activities efficiently with sufficient self-management to meet the explicit requirements of the activity, and to make judgements about the quality of outcomes against established criteria.

- **Performance Level 2** describes the competence needed to manage activities requiring the selection, application and integration of a number of elements, and to select from established criteria to judge quality of process and outcome.

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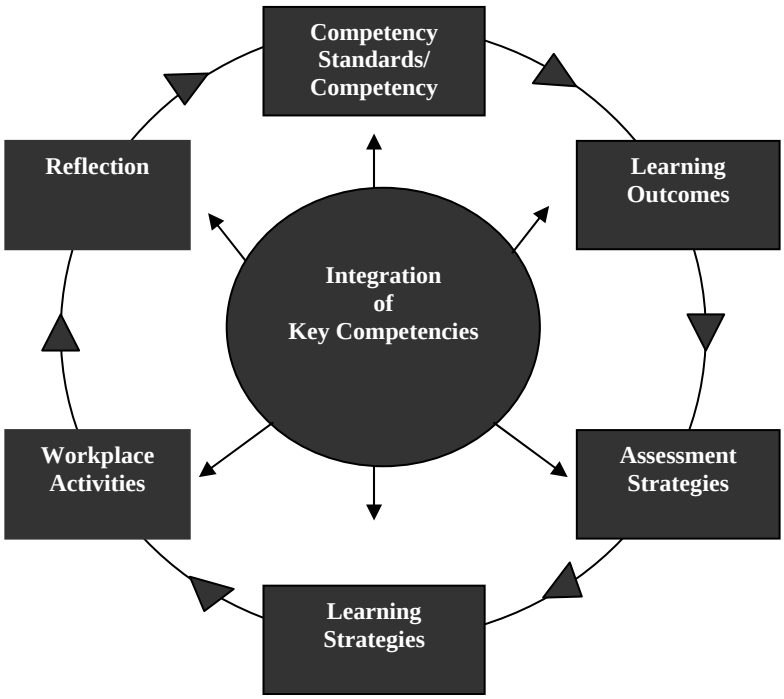
- **Performance Level 3** describes the competence needed to evaluate and reshape processes, to establish and use principles in order to determine appropriate ways of approaching activities, and to establish criteria for judging quality of process and outcome.

However, relating performance to the specific industry or workplace context may be more useful than interpreting the somewhat abstracted performance levels provided above. Where the Key Competencies are defined in the unit of competency, you will find them in a table, together with examples of their application, to help with assessment of their performance. Also, in evaluating the level of performance for the Key Competencies, consider the performance expectations at the AQF qualification level involved.

Delivery and Assessment of Key Competencies

The Key Competencies are integral to workplace competency, and, as such must be explicitly considered in the design, customisation, delivery and assessment of vocational education and training programs as represented diagrammatically below.



BSB01 Business Services Training Package

Small Business Management Competency Standards

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BSBSBM301A	Research business opportunities	2
BSBSBM401A	Establish business and legal requirements	7
BSBSBM402A	Undertake financial planning	14
BSBSBM403A	Promote the business	19
BSBSBM404A	Undertake business planning	24
BSBSBM405A	Monitor and manage business operations	31
BSBSBM406A	Manage finances	37
BSBSBM407A	Manage a small team	43

BSBSBM301A Research business opportunities

Unit Descriptor

This unit covers the investigation and research required to ascertain the opportunities available and the feasibility of a business opportunity/ies. It is suitable for those considering setting up a business.

This unit is related to BSBSBM404A Undertake business planning.

Competency Field

Business Management Services

Element	Performance Criteria
1. Identify business opportunities	1.1 *Business opportunities* are investigated and identified
	1.2 Feasibility study is undertaken to determine likely *business viability*
	1.3 *Specialist services* and sources of advice are identified where required
	1.4 Impacts of emerging or changing technology including e-commerce, on business operations are evaluated
	1.5 Practicability of business opportunity assessed in line with perceived risks, returns sought and resources available
2. Identify personal business skills	2.1 Financial and business skills available are identified and taken into account when business opportunities are researched
	2.2 Technical competencies required in regard to the business opportunity identified and assessed in line with current competencies of available personnel
	2.3 *Personal skills/attributes* are assessed and matched against those perceived as necessary for a particular business opportunity
	2.4 Business Risks are identified and assessed according to resources available and personal preferences

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Range statement

The Range statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Legislation, codes and national standards relevant to the workplace which may include:

- award and enterprise agreements and relevant industrial instruments
- national, State/Territory and Local Government legislative requirements affecting business operation, especially in regard to Occupational Health and Safety and environmental issues, EEO, industrial relations and anti-discrimination
- relevant industry codes of practice

Business opportunities may be influenced by:

- expected financial viability
- skills of operator
- amount and types of finance available
- returns expected or required by owners
- likely return on investment
- finance required
- lifestyle issues

Business viability may include:

- opportunities available
- market competition
- timing/ cyclical considerations
- skills available
- resources available
- location and/ or premises available
- risk related to a particular business opportunity, especially in regard to Occupational Health and Safety and environmental considerations

Specialist services may include:

- accountants
- lawyers and providers of legal advice
- government agencies
- industry/trade associations
- online gateways
- business brokers/business consultants

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Range statement

Personal skills/attributes may include:

- technical and/ or specialist skills
- business knowledge and skills
- entrepreneurship
- willingness to take risks

Business risks may be affected by and may include but are not restricted to:

- occupational health and safety and environmental considerations
- relevant legislative requirements
- security of investment
- market competition
- security of premises/ location
- supply and demand
- resources available

Evidence Guide

The Evidence Guide identifies the critical aspects, knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range of Variables.

Critical Aspects of Evidence

- The ability to evaluate the results of research and assess the likely viability and practicability of a business opportunity, taking into account the current business/ market climate and resources available

Underpinning Knowledge*

* At this level the learner must demonstrate some relevant theoretical knowledge.

- National, State/Territory and Local Government legislative requirements affecting business operation, especially in regard to Occupational Health and Safety and environmental issues, EEO, industrial relations and anti-discrimination
- OHS responsibilities and procedures for managing hazards relevant to the business opportunity
- Legislation and regulations relevant to the business operation
- Methods for researching business opportunities
- Principles of risk management relevant to the business opportunity
- Methods of identifying relevant specialist services to complement the business opportunity

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Evidence Guide

Underpinning Skills

- Literacy skills to enable interpretation of business information,
- Numeracy skills for data analysis to aid research
- Research skills to identify a business opportunity and to conduct a feasibility study
- Analytical skills to assess personal attributes and to identify business risks
- Ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities

Resource Implications

- The learner and trainer should have access to appropriate documentation and resources normally used in the workplace

These may include:

- Computer equipment
- Business references such as relevant legislation and regulation relating to the business operation especially OHS requirements

Consistency of Performance

In order to achieve consistency of performance, evidence should be collected over a set period of time which is sufficient to include dealings with an appropriate range and variety of situations

Context/s of Assessment

- Competency is demonstrated by performance of all stated criteria, including paying particular attention to the critical aspects and the knowledge and skills elaborated in the Evidence Guide, and within the scope as defined by the Range of Variables
- Assessment must take account of the endorsed assessment guidelines in the Business Services Training Package
- Assessment of performance requirements in this unit should be undertaken in an actual workplace or simulated environment
- Assessment should reinforce the integration of the key competencies and the business services common competencies for the particular AQF level. Refer to the Key Competency Levels at the end of this unit

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Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 2	Level 1	Level 1	Level 1	Level 2	Level 3	Level 1

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – to research business opportunities
- **Communicating ideas and information** – to gain information
- **Planning and organising activities** – to support research and assessment of opportunities
- **Working with teams and others** – to gain information
- **Using mathematical ideas and techniques** – to aid financial planning
- **Solving problems** – to assess business viability
- **Using technology** – to aid research and planning

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSBSBM401A Establish business and legal requirements

Unit Descriptor

The unit involves identifying and complying with business legal and administrative requirements. It is suitable for setting up or existing micro and small businesses or a department in a larger organisation.

This unit is related to BSBSBM404A Undertake business planning.

Competency Field

Business Management Services

Element	Performance Criteria
1. Identify and Implement business legal requirements	1.1 Possible legal options for the business structure are identified 1.2 *Legislation, codes and regulatory requirements* affecting the structure and operations of the business are determined and procedures are developed and implemented to ensure full compliance
2. Comply with legislation, codes and regulatory requirements `	2.1 Systems are established to ensure the *legal rights and responsibilities* of the business are identified, and the business is adequately protected, especially in regard to *Occupational Health and Safety,* business registration and environmental requirements 2.2 *Taxation principles and requirements* relative to the business are identified, and procedures are followed to ensure compliance 2.3 *Legal documents* are identified, carefully maintained and relevant *records* are kept and updated to ensure their ongoing security and accessibility 2.4 *Insurance requirements* are identified and adequate cover is acquired 2.5 Compliance with legal and regulatory requirements monitored 2.6 Investigations conducted to identify areas of non-compliance with legal and regulatory requirements and corrective action taken where required
3. Negotiate and arrange contracts	3.1 Legal advice on contractual rights and obligations is sought, if required, to clarify business liabilities 3.2 Potential products/services are investigated and assessed to determine *procurement rights* and to ensure protection of business interests where applicable

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Element	Performance Criteria
	3.3 Conditions applying to production/provision of relevant products and services are investigated to ensure compliance with legal and contractual requirements as required
	3.4 Contractual procurement rights for goods and services including *contracts with relevant people*, negotiated and secured as required in accordance with the business plan
	3.5 Options for leasing/ownership of business premises identified and contractual arrangements completed in accordance with the business plan

Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Legislation, codes and national standards relevant to the workplace which may include:	• award and enterprise agreements and relevant industrial instruments • national, State/Territory and Local Government legislative requirements affecting business operation, especially in regard to Occupational Health and Safety and environmental issues, EEO, industrial relations and anti-discrimination • relevant industry codes of practice
Occupational Health and Safety and requirements must include:	• establishing hazard management arrangements to identify workplace specific hazards • establishing hazard management arrangements to assess and control the risks associated with workplace hazards including development of written safe operating procedures • establishing OHS record keeping arrangements in accordance with regulatory requirements • developing and implementing procedures to evaluate and review effectiveness of risk control measures • the establishment and maintenance of a system for managing OHS • OHS Duty of Care responsibilities (knowledge of legislation)

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Range Statement

And may include:	• establishing arrangements to induct, train and provide information on workplace hazards and their control, to all workplace personnel • developing workplace arrangements to consult employees
Legal options for the business structure may include:	• company, trust, partnership or sole trader structure or form of business recognised by law. It may be profit or non-profit based
And may be influenced by:	• preferences of owners • requirements of financial backers • confidentiality • taxation • superannuation • ownership transfer • partnership considerations
Ownership transfer considerations may include:	• ownership transfer may occur as a result of forced business closure, death, divorce, sale of business, buying out other partners, succession planning etc
Legislation, codes and regulatory requirements may include:	• local, state, national and international legislation and regulations affecting business operations such as: business registration, planning and other permissions, license to practice, franchising, agencies, licensing eg (Real Estate Agents, Customs Brokers), fire, occupational health and safety and environmental legislation, industrial, taxation including GST, copyright, patent trademark and design regulations, codes of practice, standards and anti-competition/monopoly, anti-trust and consumer legislation, Law of Torts
Legal rights and responsibilities may include:	• marketing the business in accordance with consumer legislation • operating the business with a duty of care (Law of Torts) • obligations imposed by choice of business structure
Taxation principles and requirements may include:	• tax file number, Australian Business number, GST registration, PAYG and withholding arrangements • relevant taxation requirements/obligations for business

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Range Statement

Legal documents may include:	• partnership agreements, constitution documents, statutory books for companies (Register of Members, Register of Directors and Minute Books), Certificate of Incorporation, Franchise Agreements and financial documentation, appropriate software for financial records
Recordkeeping may include but is not restricted to:	• personnel, financial, taxation, OHS and environmental
OHS recordkeeping may include:	• workers compensation and rehabilitation; • hazardous substances register; • material safety data sheets; • manufacturers' and suppliers' information; • OHS audits and inspections; • first aid and medical; accident reports and investigations • plant maintenance and testing; • instruction & training
Insurance requirements may include:	• third party bodily injury on motor vehicles • workers compensation • any other insurance cover declared mandatory by State or Federal legislation
Procurement rights to products and services may include:	• royalties, copyright, patents, trademarks, registered design and applications, intellectual property, software licenses, franchises, agencies and any form of licensing
Contracts with relevant people may include:	• owners, suppliers, employees, landlords, agents, distributors, customers or any person with whom the business has, or seeks to have, a performance-based relationship

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Evidence Guide

The Evidence Guide identifies the critical aspects, knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range of Variables.

Critical Aspects of Evidence

- The capacity to implement a systematic approach to identifying, managing and meeting legal business requirements and
- Interpreting compliance data and formulating appropriate action

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating some theoretical concepts.

- National, State/Territory and Local Government legislative requirements affecting business operation, especially in regard to Occupational Health and Safety and environmental issues, EEO, industrial relations and anti-discrimination
- Relevant OHS responsibilities and procedures
- Business registration and licensing requirements
- Legal rights and obligations of alternative ownership structures
- Relevant taxation and related legislative requirements and legal rights and responsibilities related to the business
- Bookkeeping and record keeping procedures to meet minimum financial and legal requirements
- Award and enterprise agreements, where required
- Industrial law relevant to recruitment and dismissal of employees
- Creation and termination of relevant legal contracts
- Duty of care imposed by Law of Torts
- Relevant industry codes of practice
- Relevant consumer legislation

Underpinning Skills

- Literacy skills to interpret legal requirements, develop company policies and procedures and analyse compliance information
- Communication, reporting and consultation skills necessary for the business operation
- Time management skills to prioritise tasks and to meet datelines
- Ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities

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Evidence Guide

Resource Implications

- The learner and trainer should have access to appropriate documentation and resources normally used in the workplace

Consistency of Performance

- In order to achieve consistency of performance, evidence should be collected over a set period of time which is sufficient to include dealings with an appropriate range and variety of situations

Context/s of Assessment

- Competency is demonstrated by performance of all stated criteria, including paying particular attention to the critical aspects and the knowledge and skills elaborated in the Evidence Guide, and within the scope as defined by the Range of Variables
- Assessment must take account of the endorsed assessment guidelines in the Business Services Training Package
- Assessment of performance requirements in this unit should be undertaken in an actual workplace or simulated environment
- Assessment should reinforce the integration of the key competencies and the business services common competencies for the particular AQF level. Refer to the Key Competency Levels at the end of this unit

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Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 3	Level 2	Level 3	Level 2	Level 2	Level 3	Level 1

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – to determine business legal requirements
- **Communicating ideas and information** – to establish business structure
- **Planning and organising activities** – to comply with legal requirements for the business legal structure
- **Working with teams and others** – to obtain compliance with legal requirements
- **Using mathematical ideas and techniques** – to support the business operation
- **Solving problems** – to reduce risk and establish business legal structure
- **Using technology** – to optimise business performance

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSBSBM402A Undertake financial planning

Unit Descriptor

This unit involves the development of a financial plan to support business viability. It is suitable for setting up or existing micro and small businesses or a department in a larger organisation.

This unit is related to BSBSBM404A Undertake business planning.

Competency Field

Business Management Services

Element	Performance Criteria
1. Analyse the financial requirements of the business	1.1 Income and outgoing expenditure is identified and assessed to plan for business viability 1.2 *Costs* associated with the production and delivery of the business' products/services are identified and documented 1.3 Appropriate *pricing strategies* are identified in relation to market conditions to meet the profit targets of the business 1.4 Contribution margins of products/services are considered to obtain the optimum sales mix 1.5 Profit projections are prepared to supplement the business plan
2. Develop a financial plan	2.1 *Profit targets/ goals* set to reflect owners desired returns 2.2 Working capital requirements necessary to attain profit projections are identified 2.3 Non-current asset requirements are identified and alternative asset management strategies considered 2.4 *Cash flow projections* are prepared to enable business operation in accordance with the business plan and legal requirements 2.5 Capital investment requirements are identified accurately for each operational period 2.6 Budget targets are selected to enable ongoing monitoring of financial performance
3. Acquire finance	3.1 Startup and ongoing financial requirements identified according to financial plan/budget 3.2 Sources of finance, including potential *financial backers*, to provide required liquidity for the business are identified to complement business goals and objectives 3.3 Cost of securing finance on optimal terms is investigated

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Element	Performance Criteria
	3.4 Strategies to obtain finance are identified as required to ensure financial viability of the business

Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Legislation, codes and national standards relevant to the workplace which may include:	• award and enterprise agreements and relevant industrial instruments • national, State/Territory and Local Government legislative requirements affecting business operation, especially in regard to Occupational Health and Safety and environmental issues, EEO, industrial relations and anti-discrimination • relevant industry codes of practice
Costs may include:	• direct / indirect costs • fixed, variable, semi-variable costs
Pricing strategies may include:	• cost/volume/profit analysis • competitor analysis • market conditions • perceived value • penetration pricing • skimming • discounting
Pricing methods may include:	• mark up on cost • hourly chargeout rates • unit cost of production
Profit targets/ goals may include:	• desired return on investment • desired actual/notional salary for owner/manager(s) • sales turnover/ gross fees or income • cost of goods/ services sold • gross profit/ net profit • breakeven point

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Range Statement

Financial plan may include:

- working in conjunction with external consultants e.g. investment analyst, accountant/s, financiers
- the current financial state of the enterprise (or owner/operator)
- financial performance to date (if applicable)
- likely return on investment
- a review of financial inputs required (sources and forms of finance)
- projections of likely financial results (budgeting)
- projected profit targets, pricing strategies, margins
- profit, turnover, capital and equity targets
- risks and measures to manage or minimise risks
- working, fixed, debt and equity capital
- non-recurrent assets calculations
- projections may vary depending on the importance of such information and the stage in the life of the business
- monthly, quarterly or annual returns
- analysis of sales by product/service, identifying where they were sold and to whom
- estimates of profit and loss projections for each forward period
- cash flow estimates for each forward period
- resources required to implement the proposed marketing and production strategies (staff, materials, plant and equipment)

Cash flow projections may include:

- customer credit policy / debt recovery
- anticipated receipts
- anticipated payments
- taxation provisions

Financial backers may include:

- financiers/banks/lending institutions
- shareholders/partners/owners

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Evidence Guide

The Evidence Guide identifies the critical aspects, knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range of Variables.

Critical Aspects of Evidence

- Development of a financial plan which identifies the financial requirements of the business, including profit targets, cash flow projections and strategies for the acquisition of finance

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating some theoretical concepts.

- National, State/Territory and Local Government legislative requirements affecting business operation, especially in regard to Occupational Health and Safety and environmental issues, EEO, industrial relations and anti-discrimination
- Financial decision making relevant to the business
- Basic costing for the business, including margin/mark-up, hourly chargeout rates and unit costs
- Breakeven analysis
- Working capital cycles
- Methods and relative costs of obtaining finance
- Purpose of financial reports
- Relevant accounting terminology
- Basic accounting principles
- principles of budgeting
- Principles for preparation of profit and loss statements
- Principles for preparation of balance sheets
- Principles for preparation of cash flow forecasts

Underpinning Skills

- Numeracy concepts to analyse financial information regarding the business
- Communication including reporting
- Ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities

Resource Implications

The learner and trainer should have access to appropriate documentation and resources normally used in the workplace

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Evidence Guide

Consistency of Performance

In order to achieve consistency of performance, evidence should be collected over a set period of time which is sufficient to include dealings with an appropriate range and variety of situations

Context/s of Assessment

- Competency is demonstrated by performance of all stated criteria, including paying particular attention to the critical aspects and the knowledge and skills elaborated in the Evidence Guide, and within the scope as defined by the Range of Variables
- Assessment must take account of the endorsed assessment guidelines in the Business Services Training Package
- Assessment of performance requirements in this unit should be undertaken in an actual workplace or simulated environment
- Assessment should reinforce the integration of the key competencies and the business services common competencies for the particular AQF level. Refer to the Key Competency Levels at the end of this unit

Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 2	Level 2	Level 2	Level 2	Level 2	Level 2	Level 2

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – to acquire and plan finances
- **Communicating ideas and information** – to obtain and convey financial information
- **Planning and organising activities** – to comply with legal requirements and plan finances
- **Working with teams and others** – to obtain finance and financial information
- **Using mathematical ideas and techniques** – to plan and maintain finances
- **Solving problems** – to maximise business financial viability
- **Using technology** – to optimise business performance

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSBSBM403A Promote the business

Unit Descriptor

This unit covers the development and implementation of marketing strategies and the monitoring and improvement of market performance. It is suitable for setting up or existing micro and small businesses or a department in a larger organisation.

This unit is related to BSBSBM404A Undertake business planning.

Competency Field

Business Management Services

Element	Performance Criteria
1. Develop marketing strategies	1.1 The business and its key products or services are analysed to determine the focus of marketing activities in accordance with the objectives of the business plan 1.2 Customer base and target market for the business are evaluated as a basis for marketing strategies 1.3 *Marketing objectives* and strategies are determined in consultation with *relevant people* in accordance with the business plan
2. Determine a *marketing mix* for the business	2.1 Product mix, volumes and *pricing* are balanced to optimise sales and profit 2.2 The costs and benefits of using *different distribution channels* and/or providing different *levels of customer service* are evaluated and the results considered in determining the marketing mix 2.3 Promotional activities are determined to suit the target market 2.4 Customer needs and preferences are considered in determining the marketing mix 2.5 Marketing mix is determined according to market and business needs
3. Implement marketing strategies	3.1 Persons involved in the marketing effort are briefed on their roles and responsibilities to ensure the success of marketing strategies 3.2 *Promotional activities* are planned and implemented in accordance with marketing objectives and budgetary requirements
4. Monitor and improve marketing performance	4.1 Ongoing monitoring of marketing activities and evaluation of business performance is conducted according to the objectives and targets of the business plan

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Element	Performance Criteria
	4.2 *Performance gaps* analysed and corrective action taken or new targets set
	4.3 All relevant people are encouraged to propose ways to improve marketing performance
	4.4 *Customer reaction* to all aspects of the marketing mix is sought and analysed to improve targeting and outcomes
	4.5 Ongoing research of customer requirements is conducted to identify *opportunities for* change and improvement
	4.6 Changes in market opportunities are monitored and investigated for new business opportunities to aid business development

Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Legislation, codes and national standards relevant to the workplace which may include:

- award and enterprise agreements and relevant industrial instruments
- National, State/Territory and Local Government legislative requirements affecting business operation, especially in regard to Occupational Health and Safety and environmental issues, EEO, industrial relations and anti-discrimination
- relevant industry codes of practice

Marketing strategies may include:

- product design and packaging
- pricing, presentation and display of products/services
- promotion and advertising
- product range and mix
- distribution
- achieving lower costs of production and distribution than competitors
- pursuing cost leadership and/or product differentiation within a specialist market segment
- creating a very different product line or service so that the business becomes a class leader in the industry

Relevant people may include:

- owner/operator, partners
- financial backers, clients
- accountant or other specialist services

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Range Statement

- family members, work team members, sub-contractors
- franchise agency
- trade or industry associations
- regulatory bodies

Marketing mix may include:

- technical features, design
- quality, range
- safety features
- pricing
- promotion, distribution
- level of service

Distribution channels may include:

- self-access, wholesale, retail
- distributor, delivery service, mail order, telesales
- dealer, re-seller, franchisee

Level of customer service may include:

- sales assistance for problems/queries only
- one-on-one personal service
- after sales service

Promotional activities may include:

- advertising in national suburban or local newspapers
- web site
- word of mouth, referral, testimonials
- professional/industry journals
- advertising on radio or television
- mail drops
- display posters
- canvassing and telephone canvassing
- exhibitions, in-store promotions
- sponsorship
- the development of networks and strategic alliances
- staff development programs to enhance customer service orientation

Performance gaps may include:

- under or over achievement of performance targets

Customer reaction may be determined through:

- survey/other feedback mechanisms
- informal discussion
- customer meetings, focus groups
- sales to contact ratio
- trend analysis
- identification of new business opportunities

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Evidence Guide

The Evidence Guide identifies the critical aspects, knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range of Variables.

Critical Aspects of Evidence

- Ability to develop a marketing strategy and choice of marketing mix to complement the business plan
- Ability to implement and monitor the marketing strategy/plan to optimise the chances of business success

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating some theoretical concepts.

- National, State/Territory and Local Government legislative requirements affecting business operation, especially in regard to Occupational Health and Safety and environmental issues, EEO, industrial relations and anti-discrimination
- relevant marketing concepts and methods
- relevant market analysis and research
- methods of developing marketing objectives and marketing mix
- methods of analysing costs and benefits of marketing strategies
- methods of monitoring customer satisfaction
- industry market trends

Underpinning Skills

- literacy and numeracy skills to research information and to interpret market data
- communication including questioning, clarifying, reporting
- numeracy skills for data analysis
- ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities

Resource Implications

The learner and trainer should have access to appropriate documentation and resources normally used in the workplace

Consistency of Performance

In order to achieve consistency of performance, evidence should be collected over a set period of time which is sufficient to include dealings with an appropriate range and variety of situations

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Evidence Guide

Context/s of Assessment

- Competency is demonstrated by performance of all stated criteria, including paying particular attention to the critical aspects and the knowledge and skills elaborated in the Evidence Guide, and within the scope as defined by the Range of Variables
- Assessment must take account of the endorsed assessment guidelines in the Business Services Training Package
- Assessment of performance requirements in this unit should be undertaken in an actual workplace or simulated environment Add in additional industry requirements if appropriate
- Assessment should reinforce the integration of the key competencies and the business services common competencies for the particular AQF level. Refer to the Key Competency Levels at the end of this unit

Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 2	Level 2	Level 3	Level 2	Level 2	Level 3	Level 2

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – to develop marketing strategies
- **Communicating ideas and information** – to consult with relevant people
- **Planning and organising activities** – to implement to marketing strategy
- **Working with teams and others** – to gain support for the plan
- **Using mathematical ideas and techniques** – to research market needs
- **Solving problems** – to determine the optimum marketing mix
- **Using technology** – to optimise business performance

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSBSBM404A Undertake business planning

Unit Descriptor

This unit covers the research and development of an integrated business plan for achieving business goals and objectives. It is suitable for setting up or existing micro and small businesses or a department in a larger organisation.

This unit is related to BSBSBM301 Research business opportunities. Consider co-assessment with BSBSBM401 Establish business and legal requirements, BSBSBM402 Undertake financial planning and BSBSBM403 Promote the business.

Competency Field

Business Management Services

Element	Performance Criteria
1 Identify elements of a business plan	1.1 Components of a business plan relevant to a *business opportunity* identified and reviewed 1.2 Purpose of the *business plan* is identified 1.3 *Business goals and objectives* are identified and documented, as a basis for measuring business performance
2. Develop a business plan	2.1 The *business plan* demonstrates research into customer needs, resources and legal requirements especially occupational health and safety, in accordance with business goals and objectives 2.2 The *financial plan* identifies sources and costs of finance to provide required liquidity and profitability for the business 2.3 *Marketing/ promotion strategies* identify methods to promote the market exposure of the business 2.4 *Production/operations plan* identifies methods/means of production/operation to conform with business goals and objectives 2.5 *Staffing* requirements, are identified as required to effectively produce/deliver products/services 2.6 *Specialist services* and sources of advice are identified where required, and costed in accordance with resources available
3. Develop strategies for minimising risks	3.1 Specific interests and objectives of *relevant people* are identified and their support of the planned business direction is sought and confirmed 3.2 *Risk management strategies* are identified and developed according to business goals and objectives and relevant legal requirements

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Element	Performance Criteria
	3.3 *Contingency plan* is developed to address possible areas of non conformance to plan

Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Legislation, codes and national standards relevant to the workplace which may include:

- award and enterprise agreements and relevant industrial instruments
- national, State/Territory and Local Government legislative requirements affecting business operation, especially in regard to Occupational Health and Safety and environmental issues, EEO, industrial relations and anti-discrimination
- relevant industry codes of practice

Occupational Health and Safety issues must include:

- management of the organisation and operation of OHS as part of the business plan
- procedures for managing hazards in the workplace (identify, assess & control)
- identification of specific hazard issues such as occupational violence, security, manual handling, equipment and hazardous substances.
- Provisions for ensuring safety of members of the public and contractors visiting the premises/worksite.

Business plan may include:

- proposed size and scale of the business
- market focus of the business
- marketing requirements
- sources of funding
- need to raise finance and requirements of lenders
- level of risk involved, risk assessment and management
- stages in the business development
- business opportunities
- resources required and available
- details of ownership/management
- staffing
- organisation/ operational arrangements
- specialist services and sources of advice which may be required
- finance, expenditure statement, balance sheet and

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Range Statement

	cash flow forecast, projections for the initial years of operation assumptions underlying the business plan, expected level of inflation and taxation, expected trend of interest rate, capital expenditure and its timing, stock turnover, debtors collection period, creditor payment period, return on investment • recognition of any seasonal or cyclical (time-based) elements which are crucial to the success of the enterprise
Business opportunities may be influenced by:	• expected financial viability, • skills of operator • amount and types of finance available
Business goals and objectives may include:	• goals, objectives, plans, systems and processes • short, medium or long term goals • financial projections • customer needs/marketing projections • proposed size and scale of the business • market focus of the business • lifestyle issues
Financial plan may include:	• the current financial state of the enterprise (or owner/operator) • financial performance to date (if applicable) • likely return on investment • a review of financial inputs required (sources and forms of finance) • projections of likely financial results (budgeting) • projected profit targets, pricing strategies, margins • profit, turnover, capital and equity targets • risks and measures to manage or minimise risks • working, fixed, debt and equity capital • non-recurrent assets calculations • projections may vary depending on the importance of such information and the stage in the life of the business • monthly, quarterly or annual returns • analysis of sales by product/service, identifying where they were sold and to whom • estimates of profit and loss projections for each forward period • cash flow estimates for each forward period

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Range Statement

- resources required to implement the proposed marketing and production strategies (staff, materials, plant and equipment)

Financial resources may include:

- personal, financial institutions, trade/industry sources
- government sources eg. Federal and state governments which provide various forms of technical and financial assistance including direct cash grants, subsidies, tax concessions and professional and technical advice

Financial backers may include:

- owner, family and friends
- providers of venture capital
- banks or finance companies
- leasing and hire purchase financiers

Production/operations plan may include:

- options for production, delivery, technical and customer service and support
- means of supply and distribution
- operational targets and action plan may include short, medium or long term goals
- customer requirements, market expectations, budgetary constraints
- industrial relations climate and quality assurance considerations

Staffing requirements may include:

- owner/operator
- full-time, part-time staff, permanent, temporary or casual staff
- sub-contractors or external advisers/consultants

Specialist services may include:

- accountants
- lawyers and providers of legal advice
- government agencies
- industry/trade associations
- online gateways
- business brokers/business consultants

Relevant people may include:

- owner/operator, partners, financial backers
- family members
- clients
- suppliers
- franchise agency

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Range Statement

- trade or industry associations
- regulatory bodies

Risk management strategies may include:

- security systems to provide physical security of premises, plant, equipment, goods and services
- security of intellectual property
- knowledge management
- breach of contract, product liability
- measures to manage risk including securing appropriate insurance to cover loss of earnings through sickness/accidents, drought, flood, fire, theft, professional indemnity

And must include:

- Occupational Health and Safety requirements

Contingency plan may include:

- disturbances to cash flow, supply and/or distribution
- sickness or personal considerations

Evidence Guide

The Evidence Guide identifies the critical aspects, knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range of Variables.

Critical Aspects of Evidence

- The development of a business plan which provides for finance, marketing and provision of products/ services to facilitate the business goals and objectives
- Ability to identify and plan for Occupational Health and Safety, Duty of Care responsibilities (knowledge of relative legislation)

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating some theoretical concepts.

- National, State/Territory and Local Government legislative requirements affecting business operation, especially in regard to Occupational Health and Safety and environmental issues, EEO, industrial relations and anti-discrimination
- OHS responsibilities and procedures for identifying hazards relevant to business
- reasons for and benefits of business planning
- planning processes
- preparation of a business plan
- setting goals and objectives
- methods of evaluation
- types of business planning:- feasibility studies, strategic, operational, financial planning

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Evidence Guide

- relevant industry codes of practice
- principles of risk management relevant to business planning

Underpinning Skills

- Literacy skills to enable interpretation of business information,
- Communication skills relevant to business performance
- Numeracy skills for data analysis
- Ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities

Resource Implications

The learner and trainer should have access to appropriate documentation and resources normally used in the workplace

These may include:

- Computer equipment
- Business references such as relevant legislation and regulation relating to the business operation especially OHS requirements

Consistency of Performance

In order to achieve consistency of performance, evidence should be collected over a set period of time which is sufficient to include dealings with an appropriate range and variety of situations

Context/s of Assessment

- Competency is demonstrated by performance of all stated criteria, including paying particular attention to the critical aspects and the knowledge and skills elaborated in the Evidence Guide, and within the scope as defined by the Range of Variables
- Assessment must take account of the endorsed assessment guidelines in the Business Services Training Package
- Assessment of performance requirements in this unit should be undertaken in an actual workplace or simulated environment
- Assessment should reinforce the integration of the key competencies and the business services common competencies for the particular AQF level. Refer to the Key Competency Levels at the end of this unit

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Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 3	Level 2	Level 3	Level 2	Level 3	Level 3	Level 1

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – to develop a business plan
- **Communicating ideas and information** – to gain support for the business plan
- **Planning and organising activities** – to support the business operation
- **Working with teams and others** – to plan staffing and supply of goods and services
- **Using mathematical ideas and techniques** – to aid financial planning
- **Solving problems** – to support business planning
- **Using technology** – to aid business planning

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSBSBM405A Monitor and manage business operations

Unit Descriptor This unit is concerned with the operation of the business and with implementing the business plan. The strategies involve monitoring, managing and reviewing operational procedures. It is suitable for existing micro and small businesses or a department in a larger organisation.

Competency Field Business Management Services

Element	Performance Criteria
1. Develop operational strategies	1.1 Action plan is developed to provide a clear and coherent direction in accordance with the *business goals and objectives*
	1.2 Occupational Health and Safety and environmental issues are identified and strategies implemented to minimise risk factors
	1.3 Strategies for using existing, new or emerging technologies are developed and implemented where practicable to optimise business performance
	1.4 Performance measures, operational targets and quality assurance issues are developed to conform with the business plan
	1.5 Structured approach to innovation, including the utilisation of existing, new or emerging technologies, is developed to respond to changing customer requirements
2. Implement operational strategies	2.1 Systems and key performance indicators/targets are implemented to monitor business performance and customer satisfaction
	2.2 Systems to control stock, expenditure/cost, wastage/shrinkage and risks to health & safety are implemented in accordance with the business plan
	2.3 Staffing requirements, where applicable, are maintained within budget to maximise productivity
	2.4 The provision of goods/services is carried out in accordance with established *technical*, legal and ethical *standards*
	2.5 The provision of goods/services meets time, cost and quality specifications in accordance with customer requirements
	2.6 Quality procedures are applied to address product/service and customer requirements

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Element	Performance Criteria
3. Monitor business performance	3.1 The achievement of operational targets is regularly monitored/reviewed to ensure optimum business performance in accordance with the goals and objectives of the business plan 3.2 Systems and structures are reviewed, with a view to more effectively supporting business performance 3.4 Operating problems are investigated and analysed to establish causes, and changes implemented as required 3.5 Operational policies and procedures are changed to incorporate corrective action taken
4. Maintain networks	4.1 Relevant personal and professional networks identified and maintained to support business operation 4.2 Strategies developed for use of networks to assist in promoting the business and for monitoring changing business requirements
5. Review business operations	5.1 Business plan is reviewed and adjusted as required to maintain business viability in accordance with business goals and objectives 5.2 Proposed changes are clearly recorded to aid future planning and evaluation 5.3 Ongoing research into new business opportunities is undertaken and business goals and objectives adjusted as new business opportunities arise

Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Legislation, codes and national standards relevant to the workplace which may include:

- award and enterprise agreements and relevant industrial instruments
- national, State/Territory and Local Government legislative requirements affecting business operation, especially in regard to Occupational Health and Safety and environmental issues, EEO, industrial relations and anti-discrimination
- relevant industry codes of practice

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Range Statement

Operational strategies/ procedures may be determined by:	• business premises (eg size, location, layout) • purchase (sole or shared ownership) or leasing. • premises, plant and equipment may be new or previously owned. • requirements may be one-off requirements or recurrent requirements (such as equipment maintenance) specific to the nature of the business • use of existing, new and emerging technologies including e-commerce • plant and equipment , including OHS requirements • physical and natural resources • methods/techniques/technology • management and administrative systems and procedures • technology • raw materials
Occupational Health and Safety and environmental issues must include:	• establishment and maintenance of procedures for identifying risks to health and safety • establishment and maintenance of procedures for assessing and controlling risks • controls may include instructions to workplace personnel concerning: site hazards and controls, material safety data sheets, use of personal protective equipment, vehicle access , signs and barricades, traffic control, outside contractors • waste and by-products
Business goals and objectives may include:	• goals, objectives, plans, systems and processes • short, medium or long term goals • financial projections • customer needs/marketing projections • proposed size and scale of the business, market focus of the business • lifestyle issues
Business outputs may include:	• products • services

Range Statement

Operational targets may include:	• internal targets which may relate to size, quality, quantity and diversity, wages to sales, sales to area/stock levels/stock turnover/average debtor payment periods and levels • external targets which may relate to market share and positioning and may involve exploring new markets, building national or international trade links • targets which may be short, medium or long term • staffing level and skills mix
Technical standards may include:	• any current and generally agreed descriptions of what the product/service is, how it should be produced/delivered and the quality, safety, efficiency or other measures to determine the activity is done effectively
Networks may include:	• personal contacts • professional associations • business/ industry association contacts • formal/ informal/ individual/ group/ organisational contacts
And may assist in the provisions of information on:	• business trends • changes in business environment • client requirements • technical support • financial advice

Evidence Guide

The Evidence Guide identifies the critical aspects, knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range of Variables.

Critical Aspects of Evidence	• ability to develop strategies to successfully manage the operation of the business by interpreting information and • making appropriate adjustments to the business operations as required

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Evidence Guide

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating theoretical concepts, with substantial depth in some areas.

- National, State/Territory and Local Government legislative requirements affecting business operation, especially in regard to Occupational Health and Safety and environmental issues, EEO, industrial relations and anti-discrimination
- OHS responsibilities and procedures for managing hazards
- technical or specialist skills relevant to the business operation
- relevant industry codes of practice
- identification of relevant performance measures
- quality assurance principles and methods
- role of innovation
- principles of risk management relevant to the business, including risk assessment
- relevant marketing, sales and financial concepts
- methods for implementing operation and revenue control systems
- systems to manage staff, control stock, expenditure, services and customer service
- methods for monitoring performance and implementing improvements
- methods for developing and maintaining networks

Underpinning Skills

- literacy skills to interpret legal requirements, company policies and procedures
- communication skills including questioning, clarifying, reporting
- numeracy skills for performance information and financial control
- technical skills as relevant to the business
- ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities

Resource Implications

The learner and trainer should have access to appropriate documentation and resources normally used in the workplace

Consistency of Performance

In order to achieve consistency of performance, evidence should be collected over a set period of time which is sufficient to include dealings with an appropriate range and variety of situations.

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Evidence Guide

Context/s of Assessment

- Competency is demonstrated by performance of all stated criteria, including paying particular attention to the critical aspects and the knowledge and skills elaborated in the Evidence Guide, and within the scope as defined by the Range of Variables
- Assessment must take account of the endorsed assessment guidelines in the Business Services Training Package
- Assessment of performance requirements in this unit should be undertaken in an actual workplace or simulated environment
- Assessment should reinforce the integration of the key competencies and the business services common competencies for the particular AQF level. Refer to the Key Competency Levels at the end of this unit

Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 3	Level 3	Level 3	Level 3	Level 2	Level 3	Level 1

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – to assist in business operation
- **Communicating ideas and information** – to deal with customers, suppliers and staff
- **Planning and organising activities** – to support and enhance the business operation
- **Working with teams and others** – to build the business
- **Using mathematical ideas and techniques** – to support the business operation
- **Solving problems** – to reduce risk and enhance business opportunities
- **Using technology** – to optimise business performance

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSBSBM406A Manage finances

Unit Descriptor This unit involves the implementation, monitoring and review of strategies for the ongoing management of finance. It also includes day-to-day financial management of the business. It is suitable for existing micro and small businesses or a department in a larger organisation.

Competency Field Business Management Services

Element	Performance Criteria
1. Maintain financial records	1.1 *Financial information* requirements are identified and *specialist services* obtained, as required, to profitably operate and extend the business in accordance with the business plan
	1.2 Financial information records are identified to meet the needs of the business in accordance with legal requirements
	1.3 *Relevant accounting* procedures maintained according to legal requirements and/or specialist services sought as required
	1.4 Administration and financial record keeping procedures are developed and documented in accordance with legal requirements
2 Implement financial plan	2.1 Financial budgets/projections, including cash flow estimates, are produced as required for each forward period, and distributed to *relevant people* in accordance with legal requirements
	2.2 Business capital is negotiated/ secured/ managed to best enable implementation of the business plan and meet the requirements of *financing bodies*
	2.3 Taxation records are maintained and reporting requirements complied with
	2.4 Strategies to enable adequate financial provision for taxation developed and maintained in accordance with legal requirements
	2.5 Client *credit policies* including contingencies for debtors in default are developed, monitored and maintained to maximise cash flow
	2.6 Key performance indicators are selected to enable ongoing monitoring of financial performance
	2.7 Financial procedures are recorded and communicated to relevant people to facilitate implementation of the business plan

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Element	Performance Criteria
3. Monitor financial performance	3.1 Financial performance targets are regularly monitored and reported and data is gathered to establish the extent to which the financial plan has been met 3.2 Marketing and operational strategies are monitored for their effects on the financial plan 3.3 Financial ratios are calculated and evaluated according to own/industry benchmarks 3.4 Financial plan is assessed to determine whether variations or alternative plans are indicated and changed as required 3.5 Appropriate action is taken to ensure the achievement of profit and return to enable business operation in accordance with the business plan and legal requirements

Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Legislation, codes and national standards relevant to the workplace which may include:

- award and enterprise agreements and relevant industrial instruments
- national, State/Territory and Local Government legislative requirements affecting business operation, especially in regard to Occupational Health and Safety and environmental issues, EEO, industrial relations and anti-discrimination
- relevant industry codes of practice

Financial information may include:

- financial budgets
- business capital
- cash flow forecasts
- statements/forecasts
- bookkeeping/ accounting/ stock/ job costing records
- asset registers
- profit and loss statements
- balance sheets
- payroll records, superannuation entitlements
- accrual of staff leave/entitlements
- taxation returns including GST
- business activity statements
- ratios for profitability, liquidity/efficiency/financial structure

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Range Statement

- risk management
- financial indicators may be short, medium and/or long term
- asset management strategies which may include:
  - owning, leasing, sharing, syndicating
  - maintaining and deploying assets

Relevant accounting procedures may include:

- accrual/ cash
- single entry / double entry
- manual / computerised

Specialist services may include:

- accountants
- lawyers and providers of legal advice
- government agencies
- industry/trade associations
- online gateways
- business brokers/business consultants

Relevant people may include:

- owner/operator
- partners
- financial backers
- family members
- franchise agency
- trade or industry associations
- regulatory bodies

Legal requirements may include:

- contractual arrangements (eg partnership agreements, trust deeds)
- corporations law
- industrial law (for payroll records)
- taxation law

Financial bodies may include:

- financiers/ banks/ lending institutions
- shareholders/ partners/ owners

Credit policies may include:

- debt collection
- trading terms
- credit limits
- payment options
- credit references

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Range Statement

Financial ratios may include:

- Gross profit percentage
- Net profit percentage
- Expense percentages
- Stockturn rates
- Staff productivity measures
- Return on investment / Return on total assets
- Current ratio
- Liquid ratio
- Days stock on hand
- Days debtors outstanding
- Proprietary/ debt ratio

Evidence Guide

The Evidence Guide identifies the critical aspects, knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range of Variables.

Critical Aspects of Evidence

- Ability to develop, implement and review strategies for the ongoing management of finance and
- To maintain day-to-day financial management of the business as well as implementation of broad financial strategies.

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating some theoretical concepts.

- National, State/Territory and Local Government legislative requirements affecting business operation, especially in regard to Occupational Health and Safety and environmental issues, EEO, industrial relations and anti-discrimination
- Financial decision making relevant to the business
- Basic knowledge of specific tax requirements relevant to the individual industry
- Legal obligations for record keeping
- Processing financial transactions
- Basic accounting principles (single entry/double entry)
- Purpose of financial reports
- Financial ratios
- Interpretation of comparative profit and loss statements
- Interpretation of comparative balance sheets
- Preparation and interpretation of budget/actual reports

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Evidence Guide

- Stock records/stock control relevant to the business
- Benchmarking
- Methods and relative costs of obtaining finance

Underpinning Skills

- Literacy skills to interpret legal requirements, company policies and procedures
- Communication including reporting
- Numeracy skills to undertake financial calculations
- Ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities

Resource Implications

The learner and trainer should have access to appropriate documentation and resources normally used in the workplace

Consistency of Performance

In order to achieve consistency of performance, evidence should be collected over a set period of time which is sufficient to include dealings with an appropriate range and variety of situations

Context/s of Assessment

- Competency is demonstrated by performance of all stated criteria, including paying particular attention to the critical aspects and the knowledge and skills elaborated in the Evidence Guide, and within the scope as defined by the Range of Variables
- Assessment must take account of the endorsed assessment guidelines in the Business Services Training Package
- Assessment of performance requirements in this unit should be undertaken in an actual workplace or simulated environment
- Assessment should reinforce the integration of the key competencies and the business services common competencies for the particular AQF level. Refer to the Key Competency Levels at the end of this unit

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Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 3	Level 2	Level 2	Level 2	Level 2	Level 3	Level 3

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – to acquire and manage finances
- **Communicating ideas and information** – to obtain and convey financial information
- **Planning and organising activities** – to comply with legal requirements and manage finances
- **Working with teams and others** – to obtain financial information
- **Using mathematical ideas and techniques** – to plan and maintain finances
- **Solving problems** – to maximise business financial viability
- **Using technology** – to optimise business performance

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSBSBM407A Manage a small team

Unit Descriptor This unit covers planning and managing staff. It involves industrial relations, staff selection, staff records, induction, training and team development to enhance business operations. It is suitable for existing micro and small businesses or a department in a larger organisation.

Competency Field Business Management Services

Element	Performance Criteria
1. Develop staffing plan	1.1 *Staffing requirements* to allow the business to run effectively are determined in accordance with business requirements as outlined in the business plan 1.2 Existing skills/competencies of self and staff are identified and compared with business requirements to identify any gaps 1.3 *Policies* and procedures are developed to address recruitment, performance measures, induction, training and professional development needs of owner/s and staff in accordance with the business plan
2 Recruit, induct and train the team	2.1 Job description and competencies required, clearly identified in accordance with business requirements, and employment vacancies advertised 2.2 Information obtained from each candidate judged against specified selection criteria and selection decided in accordance with business and legal requirements 2.3 New staff members inducted 2.4 Team members made aware of their responsibilities and performance requirements as soon as practicable and opportunities taken to coach team members who are unfamiliar with business procedures 2.5 Systematic approach to training is taken, including demonstration and explanation, as appropriate to the skill or job being taught
3. Address *industrial relations* issues	3.1 Workplace rights and obligations of employers and employees are clarified in accordance with legal requirements 3.2 Staff counselled if required, in a positive and constructive manner, and outcomes recorded accurately

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Element	Performance Criteria
4. Maintain staff records	4.1 *Staff records system* developed to provide timely and accurate information in accordance with confidentiality and legal requirements
	4.2 System for recording and retrieving personnel and payroll information monitored, accurately maintained and specialist advice sought where required
5. Manage staffing issues	5.1 Contribution and skills of self and other team members are regularly reviewed to ensure performance is in line with agreed performance measures
	5.2 Staffing requirements are noted, monitored and adjusted especially in regard to the balance between operational and support personnel according to changing business requirements
	5.3 Allocation of staff to particular tasks/functions is continually monitored and reviewed in the light of business requirements and corrective action taken promptly as required
	5.4 Opportunities for staff to discuss work related issues regularly provided
	5.5 *Contingency plan* developed to cope with unexpected or extreme situations and appropriate corrective action taken as required
6. Review team performance	6.1 Positive and constructive relationships developed with and between *team members*
	6.2 Team objectives in support of business goals are reviewed and updated on a regular basis in consultation with team members
	6.3 Strengths and weaknesses of team identified against current and expected work requirements
	6.4 Time is scheduled on regular basis, for team members to review work operations to maintain and improve operational efficiency
	6.5 Team members are encouraged to monitor their own performance, suggest improvements and to identify professional development needs in accordance with personal and business requirements

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Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Legislation, codes and national standards relevant to the workplace which may include:

- award and enterprise agreements and relevant industrial instruments
- national, State/Territory and Local Government legislative requirements affecting business operation, especially in regard to Occupational Health and Safety and environmental issues, EEO, industrial relations and anti-discrimination
- relevant industry codes of practice

Staffing requirements may include:

- self only, family and/or friends
- number of staff
- time commitment, performance expectations
- responsibilities, competencies required
- full-time, part-time, permanent, temporary or casual
- sub-contractors or external advisors/consultants

Staff policies must include:

- recruitment and selection
- training, induction
- occupational health and safety
- employment conditions, equal opportunity, anti-discrimination, cultural diversity

Industrial relations matters may include:

- awards and/or industrial agreements and relevant industrial instruments
- counselling, dismissal procedures

Staff Records system must include:

- job/position descriptions
- employee records (including tax file number, remuneration, leave and training records etc)
- disciplinary and grievance procedures
- records of taxation and superannuation payments made
- occupational health and safety record

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Range Statement

Performance measures may include:

- performance of key people
- overall productivity of the staff
- staff morale, work ethic, work satisfaction
- ratio of direct workers to those who support, supervise or manage them
- ratio of sales dollars per employee
- percentage of chargeable hours/days per week

Contingency plan may include:

- occupational health and safety
- environmental issues
- unpredicted staff shortages
- unpredicted customer demand/busy periods
- fluctuating workloads
- accidents or emergencies

Team members may include:

- owner/s, partners, family members, staff
- people with varying competencies and training
- people with varying culture and language

Evidence Guide

The Evidence Guide identifies the critical aspects, knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range of Variables.

Critical Aspects of Evidence

- ability to manage a small team including staff selection, staff records, induction, training and
- develop and maintain team performance to enhance business operations

Underpinning Knowledge*

***At this level the learner must demonstrate understanding of specialised knowledge with depth in some areas

- National, State/Territory and Local Government legislative requirements affecting business operation, especially in regard to Occupational Health and Safety and environmental issues, EEO, industrial relations and anti-discrimination
- OHS responsibilities and procedures for managing hazards
- Relevant industry awards/enterprise agreements
- Equal opportunity, anti-discrimination legislation
- Staff counselling, grievance and disciplinary procedures
- Unfair dismissal legislation and procedures

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Evidence Guide

Underpinning Skills

- Literacy skills to interpret legal requirements and compile reports
- Conflict resolution
- Communication skills including ability to relate to staff
- Team building and motivation skills
- Training/coaching skills
- Ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities

Resource Implications

The learner and trainer should have access to appropriate documentation and resources normally used in the workplace

Consistency of Performance

In order to achieve consistency of performance, evidence should be collected over a set period of time which is sufficient to include dealings with an appropriate range and variety of situations

Context/s of Assessment

- Competency is demonstrated by performance of all stated criteria, including paying particular attention to the critical aspects and the knowledge and skills elaborated in the Evidence Guide, and within the scope as defined by the Range of Variables
- Assessment must take account of the endorsed assessment guidelines in the Business Services Training Package
- Assessment of performance requirements in this unit should be undertaken in an actual workplace or simulated environment Add in additional industry requirements if appropriate
- Assessment should reinforce the integration of the key competencies and the business services common competencies for the particular AQF level. Refer to the Key Competency Levels at the end of this unit

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Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 2	Level 3	Level 2	Level 3	Level 2	Level 3	Level 2

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – to plan for and manage a small team
- **Communicating ideas and information** – to aid team development
- **Planning and organising activities** – to manage staffing issues
- **Working with teams and others** – to develop and train a team
- **Using mathematical ideas and techniques** – to plan, record and report on staffing issues
- **Solving problems** – to reduce conflict and maximise productivity
- **Using technology** – to optimise business performance

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSB01 Business Services Training Package

Governance (Indigenous Organisations) Competency Standards

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The Governance (Indigenous Organisations) Competency Standards
in the Business Services Training Package were developed by the
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A note on unit codes

Unit codes in the Governance (Indigenous Organisations) domain differ from those elsewhere in the Business Services Training Package.
The units are published here in numeric sequence. They can, however, be approached on a thematic basis as indicated by that part of the code following the preface BSBATSI. Themes within four Key Areas are signified according to the following scheme:

C Working with your Community
L Community Leadership
M Managing the Organisation
W Working with the Wider Community

Working with your Community	Community Leadership	Managing the Organisation	Working with the Wider Community
AQF Level IV	AQF Level IV	AQF Level IV	AQF Level IV
BSBATSIC403A Maintain and protect culture	BSBATSIL401A Meet the roles and responsibilities of a board member (1)	BSBATSIM404A Use the business plan	BSBATSIW416A Obtain and manage consultancy services
BSBATSIC411A Communicate with the community	BSBATSIL402A Use the constitution	BSBATSIM405A Monitor financial management and budgets	BSBATSIW417A Select and utilise technology
AQF Level V	BSBATSIL408A Manage a board meeting	BSBATSIM406A Manage assets	
BSBATSIC510A Conduct a community meeting	BSBATSIL409A Manage time	BSBATSIM407A Plan for organisational needs	
	BSBATSIL410A Manage stress	BSBATSIM412A Implement a business-like approach	
	AQF Level V	BSBATSIM413A Oversee business planning	
	BSBATSIL501A Meet the roles and responsibilities of a board member (2)	BSBATSIM414A Oversee the organisation's annual budget	
	BSBATSIL502A Work with the manager	BSBATSIM415A Contribute to a positive and culturally appropriate workplace	
	BSBATSIL503A Manage conflict	AQF Level V	
	BSBATSIL508A Be a community leader	BSBATSIM504A Develop organisational policies	
	BSBATSIL509A Manage self as a board member	BSBATSIM505A Control organisation finances	
		BSBATSIM506A Develop employment policies	
		BSBATSIM507A Establish and maintain a strategic planning cycle	
		BSBATSIM511A Develop enterprise opportunities	
		BSBATSIM512A Manage board competencies	
		BSBATSIM513A Oversee recruitment and induction of staff	
		BSBATSIW514A Represent your organisation	
		BSBATSIW515A Secure funding	

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BSBATSIL401A Meet the roles and responsibilities of a Board member (1)

Unit Descriptor This unit covers the diverse roles and responsibilities of being a Board member. This unit, when combined with BSBATSIL501A Meet the roles and responsibilities of a Board member (2) and BSBATSIL502A Work with the manager, is equivalent to SRXGOV001A Participate as a member of an effective Board organisation.

Competency Field Business Management Services

Competency Domain Governance

Key Area Community Leadership

Element	Performance Criteria
1. Identify the business of the organisation	1.1 The history of the organisation is known and understood 1.2 The core functions of the organisation are listed and explained 1.3 The relationship between the organisation and other agencies is explained
2. Work within the structure of the organisation	2.1 The relationship between the Board and the staff is explained and documented 2.2 Overlapping roles are discussed, identified and documented 2.3 The relationship between the Board and associated entities and their management is explained 2.4 The operational structure is adhered to 2.5 Duties as per role description are performed 2.6 The Board's decision making processes are outlined
3. Monitor operations	3.1 Outcomes are identified and documented for each operational area 3.2 Information provided is used to review effectiveness and efficiency of operations 3.3 Operations are changed if necessary

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Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Core functions of the organisation may include:	• housing, health, employment, child care • bookkeeping, resourcing, coordination
Other agencies may include:	• related Aboriginal and Torres Strait Islander organisations • related non Aboriginal and Torres Strait Islander organisations
Relationship between Board and staff may include:	• Board leadership, management responsiveness • Board planning, policy formulation and decision-making, day-to-day administration
Areas of overlap may include:	• staff assuming Board functions eg decision-making, policy formulation, etc • Board members becoming involved in day-to-day operations
Operational structure may include:	• divisions, branches and positions within the organisation • lines of accountability
Associated entities may include:	• commercial businesses owned by the corporation • trusts held by the organisation • joint owned entities held by other organisations
Information to review effectiveness may include:	• reports from staff, consultants, other bodies • anecdotal information from the community

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Evidence Guide

The Evidence Guide identifies the critical aspects, underpinning knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- Integrated demonstration of all elements of competency and their performance criteria; and
- Performance of all roles of a Board member

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating some theoretical concepts.

- Cultural context – Boards are upholders of traditional and cultural values. Relevant aspects of culture may include: cultural protocols, language (both Traditional and Aboriginal English), cultural business, family and community responsibilities and Aboriginal learning styles
- Community control – community participation and control in decision-making are central to organisations and the role of Boards is to support the community in these processes
- Location and resources – organisations operate in diverse locations where cultural, social, economic and political conditions may vary widely. Also, acute resource shortages may also determine the options available
- Legal requirements – organisations operate under provisions of federal, state or territory legislation as legal entities and funding recipients which influence decision-making
- Organisation, constitution, function, policies and procedures
- Code of Conduct
- Manager's contract

Underpinning Skills

- Oral and writteņcommunication
- Ability to work in a team
- Follow rules and regulations
- Cross-cultural competence, including gender and disability
- Evaluation and decision-making
- Networking
- Negotiation
- Evaluation

Resource Implications

This unit of competency should be assessed through the performance of Board duties, but in the event that there is

Evidence Guide

	no opportunity to observe such a performance a simulated environment can be used but such simulation must replicate Board conditions in terms of: performing the task; managing a number of different tasks; coping with irregularities and breakdowns in routine; dealing with the responsibilities and expectations of the Board, including working with others; and transferring competency to other situations
Consistency of Performance	Knowledge and performance to be assessed over time to confirm consistency in performance
Context/s of Assessment	This competency should be assessed through the performance of Board duties, or may be assessed through an accurate simulation of Board duties

Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 2	Level 2	Level 2	Level 3	Level 1	Level 2	Level 1

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – regarding the history, functions and relationships of the organisation and the respective roles of Board members and staff
- **Communicating ideas and information** – discussion to clarify overlapping roles, documenting outcomes
- **Planning and organising activities** – monitoring operations, identifying outcomes
- **Working with teams and others** – other Board members and staff
- **Using mathematical ideas and techniques** – to interpret performance information
- **Solving problems** – reviewing effectiveness and efficiency
- **Using technology** – to access information

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSBATSIL402A Use the constitution

Unit Descriptor This unit covers ensuring that the organisation's constitution is relevant and legal, that it is understood, and that it meets changing needs.

Competency Field Business Management Services

Competency Domain Governance

Key Area Community Leadership

Element	Performance Criteria
1. Understand the constitution	1.1 Key clauses are explained to community members 1.2 Clarification of clauses is sought from experts 1.3 Areas of the organisation not covered by the constitution are identified and documented
2. Ensure constitution is legal	2.1 The constitution is checked to ensure it is consistent with relevant law 2.2 The constitution is checked to ensure it is consistent with Traditional law
3. Apply constitution	3.1 Provisions in the constitution are followed 3.2 Policy and programs are checked to ensure they conform to the constitution
4. Amend the constitution	4.1 Suggested changes are workshopped with the members 4.2 A clear decision is reached as to amendments 4.3 Relevant procedures are used to make the required changes 4.4 Formal documentation of changes are ensured

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Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

'Experts' may include:
- Registrar of Aboriginal Corporations
- solicitors
- accountants
- managers
- Elders

Constitutional provisions may include:
- elections
- membership
- objects
- meetings
- financial reporting

Policies and programs may include:
- program objectives
- commercial activities
- eligibility for assistance

Relevant law may include:
- the Act under which the organisation operates
- Corporations Law

Evidence Guide

The Evidence Guide identifies the critical aspects, underpinning knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence
- Integrated demonstration of all elements of competency and their performance criteria; and
- Appropriate use of the constitution

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating some theoretical concepts.

- Cultural context – Boards are upholders of traditional and cultural values. Relevant aspects of culture may include: cultural protocols, language (both Traditional and Aboriginal English), cultural business, family and community responsibilities and Aboriginal learning styles
- Community control – community participation and control in decision-making are central to organisations and the role of Boards is to support the community in these processes

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Evidence Guide

- Location and resources – organisations operate in diverse locations where cultural, social, economic and political conditions may vary widely. Also, acute resource shortages may also determine the options available
- Legal requirements – organisations operate under provisions of federal, state or territory legislation as legal entities and funding recipients which influence decision-making
- Community history
- Organisation constitution and processes
- Corporations Law

Underpinning Skills

- Written and oral communication
- Consultation and discussion
- Evaluation and revision
- Networking

Resource Implications

This unit of competency should be assessed through the performance of Board duties, but in the event that there is no opportunity to observe such a performance a simulated environment can be used but such simulation must replicate Board conditions in terms of: performing the task; managing a number of different tasks; coping with irregularities and breakdowns in routine; dealing with the responsibilities and expectations of the Board, including working with others; and transferring competency to other situations

Consistency of Performance

Knowledge and performance to be assessed over time to confirm consistency in performance

Context/s of Assessment

This competency should be assessed through the performance of Board duties, or may be assessed through an accurate simulation of Board duties

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Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 2	Level 2	Level 1	Level 2	Level 1	Level 2	Level 1

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – about the constitution and its clauses
- **Communicating ideas and information** – actively listening to, clarifying and participating in discussions about the constitution, explaining how it works to community members, canvassing changes
- **Planning and organising activities** – including meetings as required by the constitution
- **Working with teams and others** – with experts, manager and other Board members
- **Using mathematical ideas and techniques** – to ensure timing of and attendance at events is constitutional
- **Solving problems** – checking constitution to ensure it serves community requirements, checking policies and programs so they follow the constitution
- **Using technology** – for documenting changes

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSBATSIC403A Maintain and protect culture

Unit Descriptor

This unit covers working as a Board member in such a way as to respect, maintain and protect aspects of culture within the Board structure, the organisation and the community.

This unit is based on a unit originally developed by the Aboriginal and Torres Strait Islander Curriculum Consortium, Tropical North Queensland Institute of TAFE.

Competency Field Business Management Services

Competency Domain Governance

Key Area Working with Your Community

Element	Performance Criteria
1. Demonstrate a knowledge of your culture	1.1 Relevant traditional and cultural responsibilities are outlined appropriately 1.2 Local history is explained 1.3 Protocols are followed 1.4 The role of Elders and their relationship to the organisation is identified and documented 1.5 Respect for culture is modelled
2. Demonstrate respect for cultural diversity	2.1 Diverse lifestyles are described 2.2 Relevant aspects of diversity are identified 2.3 Cultural differences are accommodated in dealings with other people
3. Identify the impacts of colonialism on Aboriginal and Torres Strait Islander culture	3.1 The history of the community is described from the Aboriginal and Torres Strait Islander perspective 3.2 Negative changes in community life are identified and listed 3.3 Positive changes to culture are identified and listed
4. Combine Aboriginal and Torres Strait Islander and non- Aboriginal and Torres Strait Islander ways	4.1 Examples of relevant Aboriginal and Torres Strait Islander processes are explained
5. Deal with cultural exploitation	5.1 Examples of actual and/or potential harm are identified 5.2 Strategies for eliminating or containing damage to cultural integrity are developed, documented and implemented

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Element	Performance Criteria
6. Deal with stereotyping and prejudice	6.1 Areas of social conflict are identified and listed 6.2 Strategies toward reconciliation are developed in consultation with appropriate non-Aboriginal and Torres Strait Islander sectors in targeted areas
7. Assess the effects of new legislation and policy	7.1 New legislation affecting Aboriginal and Torres Strait Islander people is located and described 7.2 Changes to public policy relevant to Aboriginal and Torres Strait Islander affairs is identified and listed 7.3 Impacts are assessed and responses developed and documented
8. Assess the impacts of development on culture	8.1 Relevant current social, technical, economic and political changes are identified and listed 8.2 Positive and negative impacts are assessed 8.3 Potential future impacts are considered and listed 8.4 Strategies to prevent or minimise negative impacts are developed, documented and implemented 8.5 Strategies to maximise positive impacts are developed, documented and implemented

Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Traditional and cultural responsibilities may include:

- Aboriginal Law
- kinship
- land ownership
- Elders, Traditional Owners, men / women
- birth, marriage and death

Local history may include:

- events eg. massacres
- development
- community relations

Protocols may include:

- talking to the right people
- land ownership
- family/kinship/clan

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Range Statement

Lifestyles may include:
- remote
- rural
- urban

Diversity may include:
- language
- law
- ceremonies
- literacy
- employment
- living conditions
- lifestyles

Colonial impacts may include:
- legislation
- land use
- religion
- education
- alcohol

Negative changes may include:
- personal trauma
- stolen generation
- dispossession
- cultural disintegration
- loss of social control

Positive changes may include:
- education
- living standards

Relevant Aboriginal and Torres Strait Islander organisational processes may include:
- committee meetings in appropriate language
- constitutions recognise Traditional Owners
- decision-making processes
- bush meetings

Areas of actual or potential harm may include:
- artworks copyright
- shift from community focus to business

Areas of social conflict may include:
- schools
- workplaces
- public places

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Range Statement

Strategies for eliminating damage may include:

- legal options
- negotiation
- joint development

Appropriate non-Aboriginal and Torres Strait Islander sectors may include:

- sporting clubs
- schools
- local government
- businesses
- church groups

Legislation and policy may include:

- Native Title
- Wik amendments
- pastoral and mining leases
- 'Three Strikes' laws
- GST
- independent living allowance
- extended trading hours (liquor)

Impacts may include:

- lost of land and culture
- cultural assimilation
- unemployment

Developments may include:

- land developments
- mainstreaming services
- changing technologies

Evidence Guide

The Evidence Guide identifies the critical aspects, underpinning knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- Integrated demonstration of all elements of competency and their performance criteria; and
- Culture is maintained and protected

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating some theoretical concepts.

- Cultural context – Boards are upholders of traditional and cultural values. Relevant aspects of culture may include: cultural protocols, language (both Traditional and Aboriginal English), Aboriginal learning styles, cultural business, family and community responsibilities and local history
- Community control – community participation and

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Evidence Guide

	control in decision-making are central to organisations and the role of Boards is to support the community in these processes • Location and resources – organisations operate in diverse locations where cultural, social, economic and political conditions may vary widely. Also, acute resource shortages may also determine the options available • Legal requirements – organisations operate under provisions of federal, state or territory legislation as legal entities and funding recipients which influence decision-making • Organisation processes • Equity and diversity principles • Technological changes
Underpinning Skills	• Oral and written communication • Cross-cultural competence, including gender and disability • Evaluation and decision-making • Problem solving
Resource Implications	This unit of competency should be assessed through the performance of Board duties, but in the event that there is no opportunity to observe such a performance a simulated environment can be used but such simulation must replicate Board conditions in terms of: performing the task; managing a number of different tasks; coping with irregularities and breakdowns in routine; dealing with the responsibilities and expectations of the Board, including working with others; and transferring competency to other situations
Consistency of Performance	Knowledge and performance to be assessed over time to confirm consistency in performance
Context/s of Assessment	This competency should be assessed through the performance of Board duties, or may be assessed through an accurate simulation of Board duties

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Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 3	Level 3	Level 3	Level 3	Level 1	Level 3	Level 1

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – history/tradition; Aboriginal law; legislation and policy
- **Communicating ideas and information** – explain history and culture from Aboriginal and Torres Strait Islander perspective; model respect for culture; explain combination of Aboriginal and Torres Strait Islander and non- Aboriginal and Torres Strait Islander ways
- **Planning and organising activities** – consultation; meetings
- **Working with teams and others** – Elders, community, indigenous and non-indigenous people; clubs, schools. government, businesses, church
- **Using mathematical ideas and techniques** – in analysis
- **Solving problems** – colonial impacts; cultural differences; stereotypes and prejudice; social conflict
- **Using technology** – for documentation

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSBATSIM404A Use the business plan

Unit Descriptor This unit covers the use of the business plan to guide the operations of the organisation.

Competency Field Business Management Services

Competency Domain Governance

Key Area Managing the Organisation

Element	Performance Criteria
1. Prepare to implement the plan	1.1 All aspects of the organisation and its operations are brought into line with the agreed plan 1.2 A time frame for implementing the plan is developed and documented
2. Implement the plan	2.1 Those responsible for the implementation of the business plan are identified 2.2 Authority is delegated to the relevant personnel 2.3 An action plan for implementation is developed and documented 2.4 Changing situations are addressed flexibly 2.5 Time lines are followed 2.6 Internal reporting strategies for implementation are designed and documented
3. Monitor and review progress of implementation of the business plan	3.1 Progress reports on implementation are evaluated 3.2 Changing environmental factors are monitored and documented 3.3 Appropriate implementation decisions are made and documented 3.4 Timelines are monitored
4. Review and amend the business plan	4.1 Processes for regular review of the business plan are designed and documented 4.2 Reports are considered 4.3 The effectiveness of the business plan is evaluated 4.4 Changes to the business plan are made and documented as required

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Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Organisational changes may include:	• structure • recruitment
Operational changes may include:	• priorities • products and services
Changing environmental factors may include:	• community needs/markets • legislation • funding sources

Evidence Guide

The Evidence Guide identifies the critical aspects, underpinning knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence	• Integrated demonstration of all elements of competency and their performance criteria, and • The business plan is faithfully implemented
Underpinning Knowledge*	• Cultural context – Boards are upholders of traditional and cultural values. Relevant aspects of culture may include: cultural protocols, language (both Traditional and Aboriginal English), Aboriginal learning styles, cultural business, family and community responsibilities and local history • Community control – community participation and control in decision-making are central to organisations and the role of Boards is to support the community in these processes • Location and resources – organisations operate in diverse locations where cultural, social, economic and political conditions may vary widely. Also, acute resource shortages may also determine the options available • Legal requirements – organisations operate under provisions of federal, state or territory legislation as legal entities and funding recipients which influence decision-making • Organisation processes

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating some theoretical concepts.

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Evidence Guide

	• Equity and diversity principles • The business plan
Underpinning Skills	• Written and oral communication • Ability to work in a team • Cross-cultural competence, including gender and disability • Evaluation and decision-making • Networking • Negotiation
Resource Implications	This unit of competency should be assessed through the performance of Board duties, but in the event that there is no opportunity to observe such a performance a simulated environment can be used but such simulation must replicate Board conditions in terms of: performing the task; managing a number of different tasks; coping with irregularities and breakdowns in routine; dealing with the responsibilities and expectations of the Board, including working with others; and transferring competency to other situations
Consistency of Performance	Knowledge and performance to be assessed over time to confirm consistency in performance
Context/s of Assessment	This competency should be assessed through the performance of Board duties, or may be assessed through an accurate simulation of Board duties

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Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 2	Level 2	Level 3	Level 3	Level 1	Level 3	Level 1

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – identify present and continuous compliance with plan
- **Communicating ideas and information** – design and document internal reporting strategies
- **Planning and organising activities** – develop time line for implementation plan; organise regular reviews
- **Working with teams and others** – delegate authority as appropriate
- **Using mathematical ideas and techniques** – to review plan effectiveness
- **Solving problems** – respond flexibly to changing situations
- **Using technology** – tools to implement/monitor plan

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSBATSIM405A Monitor financial management and budgets

Unit Descriptor This unit covers monitoring and acting on financial reports.

Competency Field Business Management Services

Competency Domain Governance

Key Area Managing the Organisation

Element	Performance Criteria
1. Interpret financial reports	1.1 Regular financial information is received from management in a form that all Board members can understand 1.2 Features of the financial report are discussed and documented 1.3 Income shortfalls and expenditure overruns are identified and documented 1.4 All aspects of the report are discussed and documented
2. Evaluate financial reports	2.1 Financial implications are considered and documented 2.2 Impacts of financing are identified and documented 2.3 Decisions are prioritised against organisation objectives 2.4 Decisions are compared with previous budgets and decisions 2.5 Independent advice is sought where necessary
3. Endorse decisions on finance	3.1 Decisions on finances are made and documented 3.2 Recommendations are endorsed 3.3 Actions or decisions are monitored
4. Review financial decisions	4.1 Previous decisions are followed up 4.2 Outcomes and actions are questioned 4.3 External influences on budgets and finances are monitored and documented 4.4 Variations to financial agreements are monitored and documented
5. Approve expenditures	5.1 Expenditure proposals are checked with budget 5.2 The current financial situation is checked 5.3 Expenditure is approved if consistent with budget and financial situation

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Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

A financial report may include:

- income
- expenditure
- loans
- assets
- bank accounts

Independent advisors may include:

- accountants
- business advisors

External influences may include:

- funding sources
- costs
- markets
- supplies
- awards

Evidence Guide

The Evidence Guide identifies the critical aspects, underpinning knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- Integrated demonstration of all elements of competency and their performance criteria, and
- Financial management and budget is rigorously monitored

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating some theoretical concepts.

- Cultural context – Boards are upholders of traditional and cultural values. Relevant aspects of culture may include: cultural protocols, language (both Traditional and Aboriginal English), Aboriginal learning styles, cultural business, family and community responsibilities and local history
- Community control – community participation and control in decision-making are central to organisations and the role of Boards is to support the community in these processes
- Location and resources – organisations operate in diverse locations where cultural, social, economic and political conditions may vary widely. Also, acute

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Evidence Guide

	resource shortages may also determine the options available • Legal requirements – organisations operate under provisions of federal, state or territory legislation as legal entities and funding recipients which influence decision-making • Organisation procedures and processes • Standard budgeting procedure • Financial reporting procedures • Organisation objectives • Previous budgets
Underpinning Skills	• Oral and written communication • Simple arithmetic (add and subtract) • Evaluation and decision-making • Following procedures
Resource Implications	This unit of competency should be assessed through the performance of Board duties, but in the event that there is no opportunity to observe such a performance a simulated environment can be used but such simulation must replicate Board conditions in terms of: performing the task; managing a number of different tasks; coping with irregularities and breakdowns in routine; dealing with the responsibilities and expectations of the Board, including working with others; and transferring competency to other situations
Consistency of Performance	Knowledge and performance to be assessed over time to confirm consistency in performance
Context/s of Assessment	This competency should be assessed through the performance of Board duties, or may be assessed through an accurate simulation of Board duties

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Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 2	Level 1	Level 1	Level 3	Level 2	Level 2	Level 1

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – access and evaluate financial reports; compare present/previous reports; scrutinise recommendations
- **Communicating ideas and information** – discuss financial report; question outcomes and actions; document external influences on finances and budgets
- **Planning and organising activities** – follow up previous decisions
- **Working with teams and others** – management and staff; accountants; advisors
- **Using mathematical ideas and techniques** – to check current financial situation; add and subtract monetary sums
- **Solving problems** – identify and manage budget variations;
- **Using technology** – in circumstances where Board members directly access financial management system

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSBATSIM406A Manage assets

Unit Descriptor This unit covers the management of and accountability for the organisation's assets.

Competency Field Business Management Services

Competency Domain Governance

Key Area Managing the Organisation

Element	Performance Criteria
1. Recognise Board responsibilities for assets	1.1 Directors are advised of their statutory responsibilities with respect to assets 1.2 The consequences for not complying with statutory responsibilities are explained
2. Ensure assets records are established	2.1 A register or registers is established for the organisation's movable assets 2.2 A job to be responsible for the register is identified and documented 2.3 The security of assets records is assured 2.4 Asset documents are recorded and secured
3. Develop and implement policies and procedures for the use of assets	3.1 Policies and administrative procedures for managing assets are developed, approved and documented 3.2 Policies and procedures are implemented
4. Ensure that assets and records are maintained	4.1 Information is received with respect to assets and records are updated 4.2 Repairs are undertaken as appropriate 4.3 Damage, loss or theft of assets is documented and reported 4.4 Follow up action is agreed and documented
5. Ensure insurance cover	5.1 Insurance is arranged and maintained following acquisition 5.2 Claims are signed as appropriate for damage, loss or theft
6. Oversee an annual internal audit of assets	6.1 Annual checks are made of items recorded in the asset register 6.2 The asset register is up-dated with current information 6.3 Reports are reviewed and documented

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Element	Performance Criteria
7. Oversee acquisition and disposal of assets	7.1 Acquisitions and the disposal of assets are approved in line with existing plans and budgets 7.2 Funding body requirements regarding asset acquisition and disposal are met 7.3 Organisational procedures are followed

Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Movable assets may include:
- vehicles
- plant and equipment
- office furniture

A register of assets may include:
- manual records
- computer based records

Assets documents may include:
- titles and certificates
- invoice/ receipts
- guarantees
- insurance
- maintenance records

Administrative procedures may include:
- invoices and receipts
- labeling
- insurance
- use and control
- internal audit
- disposal

The asset register may include:
- identifying number
- date of purchase
- location
- value
- major repairs
- additions
- obsolescence
- loss / theft
- insurance claims

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Evidence Guide

The Evidence Guide identifies the critical aspects, underpinning knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- Integrated demonstration of all elements of competency and their performance criteria, and
- Assets are managed effectively for the use of the organisation

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating some theoretical concepts.

- Cultural context – Boards are upholders of traditional and cultural values. Relevant aspects of culture may include: cultural protocols, language (both Traditional and Aboriginal English), Aboriginal learning styles, cultural business, family and community responsibilities and local history
- Community control – community participation and control in decision-making are central to organisations and the role of Boards is to support the community in these processes
- Location and resources – organisations operate in diverse locations where cultural, social, economic and political conditions may vary widely. Also, acute resource shortages may also determine the options available
- Legal requirements – organisations operate under provisions of federal, state or territory legislation as legal entities and funding recipients which influence decision-making
- Organisation procedures and processes
- Purchasing procedures
- Disposal procedures

Underpinning Skills

- Written and oral communication
- Record keeping and documentation
- Evaluation and decision-making
- Following procedures

Resource Implications

This unit of competency should be assessed through the performance of Board duties, but in the event that there is no opportunity to observe such a performance a simulated environment can be used but such simulation must replicate Board conditions in terms of: performing the task; managing a number of different tasks; coping with irregularities and breakdowns in routine; dealing with the responsibilities and expectations of the Board, including

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Evidence Guide

	working with others; and transferring competency to other situations
Consistency of Performance	Knowledge and performance to be assessed over time to confirm consistency in performance
Context/s of Assessment	This competency should be assessed through the performance of Board duties, or may be assessed through an accurate simulation of Board duties

Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 2	Level 1	Level 2	Level 2	Level 2	Level 2	Level 1

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – paperwork associated with asset purchase, insurance, inventory and disposal
- **Communicating ideas and information** – understand/explain to others assets policy and consequences of non-compliance
- **Planning and organising activities** – establish and maintain purchasing, recording and disposal processes; arrange insurance cover; annual internal audit
- **Working with teams and others** – officer responsible for asset register; insurers
- **Using mathematical ideas and techniques** – in insurance/risk assessments
- **Solving problems** – respond to loss/theft, major repairs, obsolescence
- **Using technology** – where register of assets is maintained only in electronic form

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSBATSIM407A Plan for organisational needs

Unit Descriptor This unit covers empowering the Board members to plan to meet current and future needs of the organisation.

Competency Field Business Management Services

Competency Domain Governance

Key Area Managing the Organisation

Element	Performance Criteria
1. Set directions for the future of the organisation	1.1 Information is collected and documented 1.2 Information is analysed 1.3 Organisation performance is evaluated 1.4 Key strategies to achieve directions are identified and documented
2. Set goals and objectives	2.1 Strengths, weaknesses, opportunities and threats to the organisation are identified and documented
3. Plan roles within the organisation	3.1 The role of the Board is identified 3.2 Future directions of the Board are identified and documented 3.3 Individual responsibilities of Board members are identified and documented 3.4 The type of people needed for the future is identified and documented
4. Set financial targets	4.1 Financial constraints are identified and documented 4.2 The financial obligations of the organisation are identified and documented 4.3 Financial possibilities / scenarios / strategies are explored, discussed and documented
5. Set targets for enhancing cultural identity	5.1 Ways of strengthening and enhancing the cultural identity of the organisation are identified and documented 5.2 Funding options are identified and documented 5.3 Partnerships and networks are identified and documented 5.4 Protocols which promote cultural respect are set and documented

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Element	Performance Criteria
6. Incorporate directions, goals and objectives into the business plan	6.1 Directions, goals and objectives are incorporated into the business plan

Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Information may include:
- community feedback
- funding body details
- skills and manpower capability
- documents of the organisation such as vision, business plan, procedures and policies, statistics, networks and supporters of the organisation

Strengths may include:
- capability of the organisation
- staff skills, finances, adaptability and flexibility of the organisation
- cultural uniqueness and knowledge

Weaknesses may include:
- community politics
- conflicts, location, size and scope of the organisation
- skills deficit of staff

Opportunities may include:
- business opportunities
- business enterprises
- partnership possibilities
- employment schemes, training opportunities

Threats may include:
- bureaucratic systems and demands
- politics of Indigenous affairs
- funding changes including withdrawal of funds

Future directions may include:
- community vision
- resource plans
- expressed needs of the community
- contractual obligations and arrangements

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Range Statement

Responsibilities of Board members may include:

- understanding the organisation
- understanding legal responsibilities
- knowledge of political climate, funding sources
- importance of lobbying, representing and contributing to submissions etc

Financial constraints may include:

- availability of funds
- level of reserves
- conditions of funding
- capability to manage funds

Financial obligations may include:

- overheads, legal requirements re workers
- contracts in effect
- budgeted and committed funds

Cultural identity may include:

- common cultural values that underpin Aboriginal and Torres Strait Islander people
- diversity and uniqueness of individual communities
- languages, songs, arts and artwork
- relationship with the land
- Native Title status and issues

Funding options may include:

- projects, grants, schemes, trusts etc
- government initiatives and programs
- self funded projects and initiatives
- partnerships and joint projects

Partnerships and networks may include:

- other indigenous organisations and individuals
- other organisations, firms or agencies
- government and semi government bodies
- peak organisations and associations

Protocols that promote cultural respect may include:

- recognition of Elders
- local traditions and customs
- community processes of consultation
- rights of others, rights of privacy, secret business
- respect and courtesy to other communities

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Evidence Guide

The Evidence Guide identifies the critical aspects, underpinning knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- Integrated demonstration of all elements of competency and their performance criteria, and
- Plans meet organisational needs

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating some theoretical concepts.

- Cultural context – Boards are upholders of traditional and cultural values. Relevant aspects of culture may include: cultural protocols, language (both Traditional and Aboriginal English), Aboriginal learning styles, cultural business, family and community responsibilities and local history
- Community control – community participation and control in decision-making are central to organisations and the role of Boards is to support the community in these processes
- Location and resources – organisations operate in diverse locations where cultural, social, economic and political conditions may vary widely. Also, acute resource shortages may also determine the options available
- Legal requirements – organisations operate under provisions of federal, state or territory legislation as legal entities and funding recipients which influence decision-making
- Organisation processes
- Equity and diversity principles
- Code of Conduct

Underpinning Skills

- Oral and written communication
- Ability to work in a team
- Cross-cultural competence, including gender and disability
- Evaluation and decision-making
- Negotiation

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Resource Implications

This unit of competency should be assessed through the performance of Board duties, but in the event that there is no opportunity to observe such a performance a simulated environment can be used but such simulation must replicate Board conditions in terms of: performing the task; managing a number of different tasks; coping with irregularities and breakdowns in routine; dealing with the responsibilities and expectations of the Board, including working with others; and transferring competency to other situations

Consistency of Performance

Knowledge and performance to be assessed over time to confirm consistency in performance

Context/s of Assessment

This competency should be assessed through the performance of Board duties, or may be assessed through an accurate simulation of Board duties

Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 3	Level 2	Level 2	Level 3	Level 2	Level 2	Level 1

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – regulations; contracts; future directions papers; funding documents
- **Communicating ideas and information** – discuss role of role of Board, financial obligations/aims/methods; lobbying;
- **Planning and organising activities** – plan staff needs; set future directions
- **Working with teams and others** – other Board members, managers, Elders and community, networks, supporters of the organisation, government, companies
- **Using mathematical ideas and techniques** – in setting financial targets, analysing statistics
- **Solving problems** – bureaucracy, politics, funding changes, skills deficits, organisation logistics
- **Using technology** – in documentation, submissions

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

BSBATSIL408A Manage a Board meeting

Unit Descriptor

This unit covers the planning and conduct of regular Board meetings and the communication and implementation of outcomes.

Consider co-assessment with BSBATSIL501A Meet the roles and responsibilities of a Board member (2), BSBATSIL402A Use the constitution, BSBATSIL503A Manage conflict, and BSBATSIL509A Manage self as a Board member.

Competency Field Business Management Services

Competency Domain Governance

Key Area Community Leadership

Element	Performance Criteria
1. Plan a Board meeting	1.1 An agenda is prepared that reflects the business of the meeting, with consultation between the Chair, Secretary and Manager 1.2 Invitations to guests are issued 1.3 The date, time and location are determined and members and guests are informed 1.4 Transport and other arrangements to maximise attendance, eg food, are planned and implemented 1.5 Background papers are circulated prior to the meeting in an appropriate form and with adequate time for members to prepare for the meeting
2. Conduct a Board meeting	2.1 The meeting is begun when there is a quorum 2.2 Rules and cultural protocols are followed 2.3 The meeting agenda and time frames are followed 2.4 Opportunities are provided for participants to listen, speak and respect different views 2.5 Difficult situations arising are managed by the Chair 2.6 Decisions reflect participants' views using an agreed decision-making process 2.7 An action plan is developed and documented
3. Identify confidential business	3.1 Board members are advised where confidentiality is to be observed 3.2 Declarations are sought for potential and real conflicts of interest

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Element	Performance Criteria
4. Ensure minutes are taken	4.1 A minute taker is appointed 4.2 Those present and apologies are recorded 4.3 Those who moved and seconded each motion, the discussion and the vote is recorded 4.4 The minutes are approved by the Chair 4.5 Minutes are provided to Members and guests as appropriate 4.6 Minutes are stored adequately to ensure access
5. Monitor the implementation of decisions	5.1 Decisions are communicated to relevant people 5.2 The action plan is monitored to ensure completion 5.3 Reports of outcomes of implementation are presented at Board meetings

Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Guests may include:	• Elders • representatives of other organisations • government representatives
Rules may include:	• normal meeting procedures • constitution requirements • organisational policy
Cultural protocols may include:	• providing interpreters • order of speaking • subject matters for discussion
Decision-making processes may include:	• voting • consensus
An action plan may include:	• who does what • when it is to be done • what is to be reported back
Required confidentiality may include:	• financial • personal • legal

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Range Statement

Relevant people may include:

- staff
- Board members
- committees
- visitors

Reports of outcomes may include:

- progress reports
- information reports

Evidence Guide

The Evidence Guide identifies the critical aspects, underpinning knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- Integrated demonstration of all elements of competency and their performance criteria; and
- A smoothly conducted meeting process

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating some theoretical concepts.

- Cultural context – Boards are upholders of traditional and cultural values. Relevant aspects of culture may include: cultural protocols, language (both Traditional and Aboriginal English), cultural business, family and community responsibilities and Aboriginal learning styles
- Community control – community participation and control in decision-making are central to organisations and the role of Boards is to support the community in these processes
- Location and resources – organisations operate in diverse locations where cultural, social, economic and political conditions may vary widely. Also, acute resource shortages may also determine the options available
- Legal requirements – organisations operate under provisions of federal, state or territory legislation as legal entities and funding recipients which influence decision-making
- Board meeting procedures
- Cultural processes and protocol
- Organisation processes

Underpinning Skills

- Written and oral communication
- Ability to work in a team
- Evaluation and decision-making

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Evidence Guide

- Negotiation
- Delegation
- Planning

Resource Implications

This unit of competency should be assessed through the performance of Board duties, but in the event that there is no opportunity to observe such a performance a simulated environment can be used but such simulation must replicate Board conditions in terms of: performing the task; managing a number of different tasks; coping with irregularities and breakdowns in routine; dealing with the responsibilities and expectations of the Board, including working with others; and transferring competency to other situations

Consistency of Performance

Knowledge and performance to be assessed over time to confirm consistency in performance

Context/s of Assessment

This competency should be assessed through the performance of Board duties, or may be assessed through an accurate simulation of Board duties

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Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 3	Level 2	Level 3	Level 3	Level 1	Level 2	Level 1

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – in planning a Board Meeting, ensuring papers are circulated on time and minutes are provided, ensuring reports are completed on implementation of Board decisions
- **Communicating ideas and information** – giving notice of the meeting, explaining the rules and allowing opportunities for participants to listen, speak and respect other's views
- **Planning and organising activities** – making arrangements for the meeting, including appointing a minute taker
- **Working with teams and others** – with manager, staff and other Board members
- **Using mathematical ideas and techniques** – to determine timing and resource requirements
- **Solving problems** – including confidentiality, overcoming difficult and conflict situations, ensuring meeting decisions are carried out
- **Using technology** – to prepare papers and record meeting proceedings and outcomes

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSBATSIL409A Manage time

Unit Descriptor This unit covers Board members managing their time by assessing their commitments to the Board and to other matters.

Consider co-assessment with BSBATSIL509A Manage self as a Board member.

Competency Field Business Management Services

Competency Domain Governance

Key Area Community Leadership

Element	Performance Criteria
1. Assess the commitment involved in being a Board member	1.1 A list of tasks involved in being a Board member is developed taking into consideration the Board's objectives 1.2 The time involved in each task is estimated 1.3 The total time needed to meet Board commitments is calculated
2. Calculate available time	2.1 Other (non-Board) commitments are listed and the time involved is estimated 2.2 Time available to commit to Board related activities is estimated
3. Plan Board and other activities ahead	3.1 The timetable of Board activities is obtained in order to determine time allocation 3.2 Other (non-Board) commitments are prioritised 3.3 A personal action plan is developed and documented for the each week and month for the coming year 3.4 Periods of no activity are included to allow flexibility and reduce stress 3.5 Potential and actual changes are identified and managed appropriately to ensure least disruption of tasks in progress
4. Review progress and modify diary / plan	4.1 The action plan is followed 4.2 Progress is reviewed and changes made to commitments and times as appropriate

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Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Tasks involved in being a Board member may include:

- meetings
- community consultation
- training

Other commitments may include:

- other organisations
- Regional Council
- family
- lLaw
- other cultural events

The action plan may include:

- personal commitments
- Board commitments
- community commitments
- written forms, other forms

Evidence Guide

The Evidence Guide identifies the critical aspects, underpinning knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- Integrated demonstration of all elements of competency and their performance criteria; and
- Time is managed to allow attention to all commitments

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating some theoretical concepts.

- Cultural context – Boards are upholders of traditional and cultural values. Relevant aspects of culture may include: cultural protocols, language (both Traditional and Aboriginal English), cultural business, family and community responsibilities and Aboriginal learning styles
- Community control – community participation and control in decision-making are central to organisations and the role of Boards is to support the community in these processes
- Location and resources – organisations operate in diverse locations where cultural, social, economic and political conditions may vary widely. Also, acute

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	resource shortages may also determine the options available • Legal requirements – organisations operate under provisions of federal, state or territory legislation as legal entities and funding recipients which influence decision-making • Responsibilities as a Board member • Community responsibilities
Underpinning Skills	• Estimation of time demands • Planning • Prioritising • Reviewing and revising plans
Resource Implications	This unit of competency should be assessed through the performance of Board duties, but in the event that there is no opportunity to observe such a performance a simulated environment can be used but such simulation must replicate Board conditions in terms of: performing the task; managing a number of different tasks; coping with irregularities and breakdowns in routine; dealing with the responsibilities and expectations of the Board, including working with others; and transferring competency to other situations
Consistency of Performance	Knowledge and performance to be assessed over time to confirm consistency in performance
Context/s of Assessment	This competency should be assessed through the performance of Board duties, or may be assessed through an accurate simulation of Board duties

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Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 2	Level 1	Level 3	Level 1	Level 2	Level 2	Level 1

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – including knowing expectations of Board members time commitments
- **Communicating ideas and information** – discussing tasks required of a Board member and the time needed to meet expectations
- **Planning and organising activities** – determining timetable of commitments, prioritising other commitments, making action plan
- **Working with teams and others** – including family, other organisations, Law and other cultural events
- **Using mathematical ideas and techniques** – estimating time commitments, calculating available time
- **Solving problems** – reviewing progress against plan
- **Using technology** – including possibly communications and scheduler software

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSBATSIL410A Manage stress

Unit Descriptor This unit covers Board members recognising, preventing and managing stress resulting from high workloads, conflict and other sources.

Consider co-assessment with BSBATSIL503A Manage conflict and BSBATSIL409A Manage time.

Competency Field Business Management Services

Competency Domain Governance

Key Area Community Leadership

Element	Performance Criteria
1. Develop ways of preventing stress	1.1 Spiritual, emotional, cultural and social well-being are included in considerations 1.2 The main areas of responsibility and activity associated with stress are pinpointed and listed 1.3 Strategies to relieve stress that are culturally appropriate are agreed on 1.4 Stress reduction strategies are implemented
2. Recognise stress	2.1 The signs of stress are observed 2.2 Stress is acknowledged 2.3 Cultural issues are considered 2.4 The causes of stress are analysed and listed 2.5 Discretion is exercised
3. Use help where necessary	3.1 Organisation resources are considered 3.2 Family and community supports are accessed 3.3 The need for external assistance is assessed 3.4 External help is obtained only where necessary 3.5 Discretion is exercised
4. Monitor stress	4.1 Health and well being are given high priority 4.2 Signs of stress are monitored 4.3 Remedial action is taken where needed

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Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Stress reduction strategies may include:

- family support
- time out
- group activities
- sharing load
- awareness raising
- training

Signs of stress may include:

- absence from work
- poor work performance
- conflict
- alcohol abuse

Sources of stress may include:

- workloads
- complex tasks
- work and family conflict
- cultural issues

Help may include:

- job design
- counselling
- mediation
- family support

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Evidence Guide

The Evidence Guide identifies the critical aspects, underpinning knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- Integrated demonstration of all elements of competency and their performance criteria; and
- Stress is seen in the context of the whole being – spiritual, emotional, cultural and occupational
- Sources of stress include cultural and community issues and conflict between the 'two worlds'
- Family is seen as the primary support for the individual
- Family and community strategies are preferred to external interventions
- Stress is monitored and managed effectively

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating some theoretical concepts.

- Cultural context – Boards are upholders of traditional and cultural values. Relevant aspects of culture may include: cultural protocols, language (both Traditional and Aboriginal English), cultural business, family and community responsibilities and Aboriginal learning styles
- Community control – community participation and control in decision-making are central to organisations and the role of Boards is to support the community in these processes
- Location and resources – organisations operate in diverse locations where cultural, social, economic and political conditions may vary widely. Also, acute resource shortages may also determine the options available
- Legal requirements – organisations operate under provisions of federal, state or territory legislation as legal entities and funding recipients which influence decision-making
- Organisation processes
- Areas of responsibility
- Signs of stress
- Sources of outside help for stress management

Underpinning Skills

- Self-observation and self-awareness
- Analysis

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Evidence Guide

Resource Implications

This unit of competency should be assessed through the performance of Board duties, but in the event that there is no opportunity to observe such a performance a simulated environment can be used but such simulation must replicate Board conditions in terms of: performing the task; managing a number of different tasks; coping with irregularities and breakdowns in routine; dealing with the responsibilities and expectations of the Board, including working with others; and transferring competency to other situations

Consistency of Performance

Knowledge and performance to be assessed over time to confirm consistency in performance

Context/s of Assessment

This competency should be assessed through the performance of Board duties, or may be assessed through an accurate simulation of Board duties

Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 2	Level 2	Level 2	Level 2	Level 1	Level 3	Level 1

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – identifying stressful areas and analysing causes of stress, seek information on ways of preventing stress
- **Communicating ideas and information** – observing signs of stress, acknowledging them, discussing them with family and other community supports
- **Planning and organising activities** – to include sources of well being
- **Working with teams and others** – family, community members, other Board members and staff and external helpers only when necessary
- **Using mathematical ideas and techniques** – to monitor workloads and stress signals
- **Solving problems** – associated with causes of stress, taking remedial action
- **Using technology** – including communications technology

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSBATSIC411A Communicate with the community

Unit Descriptor This unit covers the process by which Board members work in partnership with the community including other organisations in order to meet community needs and involve people.

Competency Field Business Management Services

Competency Domain Governance

Key Area Working with Your Community

Element	Performance Criteria
1. Collect information about the community on an on-going basis	1.1 A regular community forum is convened 1.2 Formal and informal community networks to share information are utilised 1.3 Community contributions are encouraged, respected and documented 1.4 Confidentiality is respected
2. Provide information to the community about the organisation's activities and Board decisions	2.1 Information about the organisation's activities is provided to the community 2.2 The community is regularly advised of Board decisions and the reasons behind them 2.3 Protocols relating to information are followed
3. Identify issues and problems jointly with the community	3.1 Community concerns are raised, discussed and documented 3.2 Individuals and groups affected by issues are invited to participate 3.3 Background information is researched through relevant networks
4. Identify options with the community	4.1 Possible options for action are discussed and documented 4.2 The advantages and disadvantages of each option are identified and listed 4.3 Preferred options are selected and documented 4.4 Information is conveyed to the Board 4.5 The Board's response is conveyed to the community

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Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Community forums must include:	• diverse groups, including women and youth
Methods of advising the community may include:	• newsletters, notices etc in plain English or Aboriginal English • open Board meetings • forums • open days • consultations • networks • community meetings • site visits
Protocols for information sharing may include:	• land issues • gender issues
Individuals, groups and networks may include:	• Elders • Custodians • women • young people • government departments
Other organisations may include:	• Aboriginal and Torres Strait Islander organisations • CDEP • mainstream community groups

Evidence Guide

The Evidence Guide identifies the critical aspects, underpinning knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence	• Integrated demonstration of all elements of competency and their performance criteria; and • Communicating effectively with the community

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Evidence Guide

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating some theoretical concepts.

- Cultural context – Boards are upholders of traditional and cultural values. Relevant aspects of culture may include: cultural protocols, language (both Traditional and Aboriginal English), Aboriginal learning styles, cultural business, family and community responsibilities and local history
- Community control – community participation and control in decision-making are central to organisations and the role of Boards is to support the community in these processes
- Location and resources – organisations operate in diverse locations where cultural, social, economic and political conditions may vary widely. Also, acute resource shortages may also determine the options available
- Legal requirements – organisations operate under provisions of federal, state or territory legislation as legal entities and funding recipients which influence decision-making
- Organisation processes

Underpinning Skills

- Oral or written communication
- Cross-cultural competence, including gender and disability
- Evaluation and decision-making
- Networking
- Negotiation

Resource Implications

This unit of competency should be assessed through the performance of Board duties, but in the event that there is no opportunity to observe such a performance a simulated environment can be used but such simulation must replicate Board conditions in terms of: performing the task; managing a number of different tasks; coping with irregularities and breakdowns in routine; dealing with the responsibilities and expectations of the Board, including working with others; and transferring competency to other situations

Consistency of Performance

Knowledge and performance to be assessed over time to confirm consistency in performance

Context/s of Assessment

This competency should be assessed through the performance of Board duties, or may be assessed through an accurate simulation of Board duties

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Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 3	Level 3	Level 3	Level 3	Level 1	Level 3	Level 1

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – research background information
- **Communicating ideas and information** – inform community about organisation's activities; explain Board decisions; discuss community concerns; respect confidentiality; follow protocols; document contributions;
- **Planning and organising activities** – consultations, meetings, forums, open days, site visits
- **Working with teams and others** – community forums; formal and informal networks; other Aboriginal and Torres Strait Islander organisations, community groups, government
- **Using mathematical ideas and techniques** – where an aid to evaluating options
- **Solving problems** – impediments to communication
- **Using technology** – as communications tool; newsletter, technology-assisted conferences

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSBATSIM412A Implement a business-like approach

Unit Descriptor This unit covers adopting a business-like manner in all aspects of operations.

Consider co-assessment with BSBATSIL401A Meet the roles and responsibilities of a Board member (1).

Competency Field Business Management Services

Competency Domain Governance

Key Area Managing the Organisation

Element	Performance Criteria
1. Identify business-like attitudes	1.1 Differences between business-like and non business-like attitudes are discussed and described 1.2 Key differences are identified and documented 1.3 Differences within existing policies and programs are identified and documented
2. Implement business-like practices	2.1 Present policies and programs are modified appropriately to reflect a business-like approach and documented 2.2 Relevant stakeholders are advised accordingly 2.3 The strategic and business plans are reviewed, modified and documented
3. Review operations regularly	3.1 All operations are reviewed from the business-like perspective 3.2 Areas of concern are identified and actions implemented as appropriate

Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Operations may include:

- not-for-profit services
- commercial services

A business-like perspective may include:

- best use of resources
- viability and potential growth
- cost/benefit
- quality assurance

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Range Statement

- influences affecting decision-making
- professional versus personal interests

Stakeholders may include:

- community
- other relevant services
- funding bodies

Evidence Guide

The Evidence Guide identifies the critical aspects, underpinning knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- Integrated demonstration of all elements of competency and their performance criteria, and
- The organisation is assisted to become more business-like and self sufficient

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating some theoretical concepts.

- Cultural context – Boards are upholders of traditional and cultural values. Relevant aspects of culture may include: cultural protocols, language (both Traditional and Aboriginal English), Aboriginal learning styles, cultural business, family and community responsibilities and local history
- Community control – community participation and control in decision-making are central to organisations and the role of Boards is to support the community in these processes
- Location and resources – organisations operate in diverse locations where cultural, social, economic and political conditions may vary widely. Also, acute resource shortages may also determine the options available
- Legal requirements – organisations operate under provisions of federal, state or territory legislation as legal entities and funding recipients which influence decision-making
- Business processes
- Organisation processes
- Business support services

Underpinning Skills

- Written and oral communication
- Evaluation and decision-making
- Planning
- Networking
- Negotiation

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Evidence Guide

Resource Implications

This unit of competency should be assessed through the performance of Board duties, but in the event that there is no opportunity to observe such a performance a simulated environment can be used but such simulation must replicate Board conditions in terms of: performing the task; managing a number of different tasks; coping with irregularities and breakdowns in routine; dealing with the responsibilities and expectations of the Board, including working with others; and transferring competency to other situations

Consistency of Performance

Knowledge and performance to be assessed over time to confirm consistency in performance

Context/s of Assessment

This competency should be assessed through the performance of Board duties, or may be assessed through an accurate simulation of Board duties

Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 3	Level 2	Level 3	Level 3	Level 1	Level 3	Level 1

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – in operation reviews, cost/benefit analysis
- **Communicating ideas and information** – identify and discuss models of business-like attitude
- **Planning and organising activities** –strategic and business plans formed and executed
- **Working with teams and others** – inform stakeholders of personal and organisational business practices
- **Using mathematical ideas and techniques** – in reviewing business operations, quality assurance
- **Solving problems** – resolve conflicts between personal and professional interests; action areas of concern identified by operations review
- **Using technology** – to perform and document quality assurance

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

BSBATSIM413A Oversee business planning

Unit Descriptor This unit covers the development of the organisation's 3–5 year plan of operations

Competency Field Business Management Services

Competency Domain Governance

Key Area Managing the Organisation

Element	Performance Criteria
1. Gather relevant planning information	1.1 The community is consulted to identify and document needs and existing and potential organisational services 1.2 Sources from the wider community are consulted to identify and document related services, funding and statutory requirements 1.3 Existing plans are reviewed
2. Oversee development of the business plan	2.1 A group to manage the planning process is formed 2.2 The skills required to develop a business plan are identified and documented 2.3 The services of a consultant are used if required 2.4 The development process is designed and documented 2.5 Timeframes are set and documented 2.6 A Board contribution is made to the writing of the business plan
3. Evaluate the business plan	3.1 The business plan is checked to ensure it includes risk management strategies 3.2 The business plan is checked to make sure it is straightforward and easily understood 3.3 The business plan is checked to make sure it reflects organisational goals and future directions 3.4 The business plan is checked to make sure it reflects community needs and local cultural requirements 3.5 The business plan is checked to make sure it reflects funding body requirements 3.6 The business plan is checked to make sure it is financially viable 3.7 Timeframes are reviewed, revised and documented 3.8 Human resource requirements are reviewed 3.9 Adjustments are suggested and documented where appropriate

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Element	Performance Criteria
	3.10 Strategies to deal with conflict between cultural and economic requirements are included
4. Approve the business plan	4.1 Changes in the business plan are requested if needed
	4.2 Changes are reviewed and documented
	4.3 The final decision is made and documented
	4.4 The business plan is presented to the community
	4.5 The business plan is modified in response to community feedback
	4.6 The final plan is accepted

Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

A business plan may include:
- legal structure
- goals
- market strategies
- human resources
- capital needs
- income and expenditure projections

A management group may include:
- Board members
- staff
- community members
- experts

Sources may include:
- funding bodies
- government departments
- other organisations

Skills for writing a business plan may be obtained through:
- the Board members themselves
- working with a consultant
- directing a consultant
- delegation to a staff member
- delegation to a working party

Funding sources may include:
- government
- private sector

Range Statement

Risk management strategies may include:

- finances
- human resources
- assets
- liabilities

Cultural requirements may include:

- protocols
- diversity

Funding body requirements may include:

- conditions
- priorities

Human resource requirements may include:

- skills
- availability

Evidence Guide

The Evidence Guide identifies the critical aspects, underpinning knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- Integrated demonstration of all elements of competency and their performance criteria, and
- A business plan is developed that is consistent with community needs and values

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating some theoretical concepts.

- Cultural context – Boards are upholders of traditional and cultural values. Relevant aspects of culture may include: cultural protocols, language (both Traditional and Aboriginal English), Aboriginal learning styles, cultural business, family and community responsibilities and local history
- Community control – community participation and control in decision-making are central to organisations and the role of Boards is to support the community in these processes
- Location and resources – organisations operate in diverse locations where cultural, social, economic and political conditions may vary widely. Also, acute resource shortages may also determine the options available
- Legal requirements – organisations operate under provisions of federal, state or territory legislation as legal entities and funding recipients which influence decision-making
- Organisation processes

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Evidence Guide

- Equity and diversity principles

Underpinning Skills

- Oral and writteņcommunication
- Ability to work in a team
- Cross-cultural competence, including gender and disability
- Evaluation and decision-making
- Planning
- Networking
- Negotiation

Resource Implications

This unit of competency should be assessed through the performance of Board duties, but in the event that there is no opportunity to observe such a performance a simulated environment can be used but such simulation must replicate Board conditions in terms of: performing the task; managing a number of different tasks; coping with irregularities and breakdowns in routine; dealing with the responsibilities and expectations of the Board, including working with others; and transferring competency to other situations

Consistency of Performance

Knowledge and performance to be assessed over time to confirm consistency in performance

Context/s of Assessment

This competency should be assessed through the performance of Board duties, or may be assessed through an accurate simulation of Board duties

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Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 2	Level 2	Level 2	Level 2	Level 1	Level 2	Level 1

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – survey existing and potential services, survey community cultural needs; identify funding and statutory requirements
- **Communicating ideas and information** – community consulted in a way that is straightforward and easily understood; processes documented
- **Planning and organising activities** – review existing plans; identify required development skills; document timeframes for development;
- **Working with teams and others** – community; planning group; consultants; Board
- **Using mathematical ideas and techniques** – to measure funding requirements and compliance with funding body requirements
- **Solving problems** – of conflicts between cultural and economic requirements; identify and address plan weaknesses
- **Using technology** – as aid to forecasting and documenting

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSBATSIM414A Oversee the organisation's annual budget

Unit Descriptor This unit covers ensuring the development and implementation of the annual budget to enable the Board to control the finances of the organisation

Competency Field Business Management Services

Competency Domain Governance

Key Area Managing the Organisation

Element	Performance Criteria
1. Ensure relevant budget information is gathered and analysed	1.1 A budget working group is established 1.2 The previous year's budget performance is reviewed 1.3 Information from relevant sources is gathered and documented 1.4 Priorities are identified and documented 1.5 The financial program for the coming year is finalised and documented
2. Ensure incomes and expenditures are identified and documented	2.1 Known sources of income are included and documented 2.2 New income sources and amounts for new activities are identified and documented 2.3 Expenditures for existing operations are reviewed and documented 2.4 Expenditures for new initiatives and/or expansions are estimated and documented 2.5 Potential problem areas are identified and documented
3. Oversee budget preparation	3.1 Contributions are made to budget development 3.2 Clear budget documentation is ensured 3.3 Draft budgets are reviewed 3.4 Contingency plans are included in the budget
4. Review and finalise budget	4.1 Expenditure commitments are brought into line with final income figures 4.2 The operational program is finalised and documented 4.3 The annual budget is finalised, documented and approved 4.4 The final budget is presented to the community 4.5 The budget is reviewed and updated regularly

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Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

A budget working group includes:	• Board portfolio / sub committee together with senior management and staff • external expertise
Budget performance may include:	• budget variances (under expenditure or over expenditure) • revenue and expenditure targets
Relevant sources may include:	• accountants • funding bodies
Income may include:	• grant funds • CDEP • enterprise operations • service contracts
Expenditures may include:	• capital requirements • salaries • administration • vehicle costs • repair and maintenance • consultants
Potential problem areas may include:	• vehicle expenses • telephone accounts • commercial activities

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Evidence Guide

The Evidence Guide identifies the critical aspects, underpinning knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- Integrated demonstration of all elements of competency and their performance criteria, and
- A balanced budget that meets the Board's needs is prepared

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating some theoretical concepts.

- Cultural context – Boards are upholders of traditional and cultural values. Relevant aspects of culture may include: cultural protocols, language (both Traditional and Aboriginal English), Aboriginal learning styles, cultural business, family and community responsibilities and local history
- Community control – community participation and control in decision-making are central to organisations and the role of Boards is to support the community in these processes
- Location and resources – organisations operate in diverse locations where cultural, social, economic and political conditions may vary widely. Also, acute resource shortages may also determine the options available
- Legal requirements – organisations operate under provisions of federal, state or territory legislation as legal entities and funding recipients which influence decision-making
- Organisation processes and plans
- Standard budgeting procedure
- Sources of income

Underpinning Skills

- Oral and written communication
- Evaluation and decision-making
- Simple mathematics (addition & subtraction of money)
- Prioritisation
- Estimation
- Negotiation

Resource Implications

This unit of competency should be assessed through the performance of Board duties, but in the event that there is no opportunity to observe such a performance a simulated environment can be used but such simulation must replicate Board conditions in terms of: performing the

Evidence Guide

	task; managing a number of different tasks; coping with irregularities and breakdowns in routine; dealing with the responsibilities and expectations of the Board, including working with others; and transferring competency to other situations
Consistency of Performance	Knowledge and performance to be assessed over time to confirm consistency in performance
Context/s of Assessment	This competency should be assessed through the performance of Board duties, or may be assessed through an accurate simulation of Board duties

Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 2	Level 2	Level 2	Level 2	Level 2	Level 2	Level 1

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – gather budget documentation
- **Communicating ideas and information** – ensure budget documentation is clear;
- **Planning and organising activities** – prioritise activities; prepare contingency plans
- **Working with teams and others** – budget working group; management and staff; consultants
- **Using mathematical ideas and techniques** – to add and subtract monetary sums
- **Solving problems** – budget variation; resource shortages; location difficulties; political conditions
- **Using technology** – in circumstances where Board members directly access financial management system

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSBATSIM415A Contribute to a positive and culturally appropriate workplace

Unit Descriptor This unit covers the role of the Board member in contributing to the development and maintenance of a positive and culturally appropriate workplace.

Competency Field Business Management Services

Competency Domain Governance

Key Area Managing the Organisation

Element	Performance Criteria
1. Encourage respect toward people in the workplace	1.1 The positive qualities of people are recognised and enhanced 1.2 People are encouraged to work in their own way 1.3 Human values are considered in decision-making 1.4 Past experiences and the effects of government policies are acknowledged
2. Provide support to others	2.1 The knowledge, skills and experience of others is recognised and documented 2.2 Knowledge and skills are shared amongst others 2.3 Issues are resolved in sensitive ways 2.4 People are listened to 2.5 Others are encouraged to take on new challenges 2.6 Approachability and openness to suggestions are demonstrated
3. Promote and encourage an environment which allows people to enhance their skills and knowledge	3.1 Cultural views and values are promoted and maintained in the workplace 3.2 Achievement of work goals are supported 3.3 Achievements are recognised and documented 3.4 Undertaking relevant professional development is supported
4. Encourage teamwork	4.1 A team approach is supported 4.2 Expectations of team members are defined clearly and documented 4.3 Individuals' contributions are recognised and documented 4.4 Different ways of working are respected

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Element	Performance Criteria
5. Provide constructive feedback	5.1 The provision of constructive feedback is encouraged 5.2 People are talked with about their performance where appropriate

Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Positive qualities may include:
- attitudes
- skills and abilities
- initiative

Past experiences may include:
- lost generation
- other effects of government policies
- limited educational opportunities
- lost culture
- trauma

Knowledge, skills and experience may include:
- work
- interpersonal
- cultural

Others may include:
- Board members
- staff members

Achievements may include:
- work-based
- personal

Training may include:
- career planning
- work skills
- personal development
- cultural enhancement

Feedback may include:
- to staff by staff
- to staff by a Board nominee

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Evidence Guide

The Evidence Guide identifies the critical aspects, underpinning knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- Integrated demonstration of all elements of competency and their performance criteria, and
- Staff are managed to ensure their personal welfare

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating some theoretical concepts.

- Cultural context – Boards are upholders of traditional and cultural values. Relevant aspects of culture may include: cultural protocols, language (both Traditional and Aboriginal English), Aboriginal learning styles, cultural business, family and community responsibilities and local history
- Community control – community participation and control in decision-making are central to organisations and the role of Boards is to support the community in these processes
- Location and resources – organisations operate in diverse locations where cultural, social, economic and political conditions may vary widely. Also, acute resource shortages may also determine the options available
- Legal requirements – organisations operate under provisions of federal, state or territory legislation as legal entities and funding recipients which influence decision-making
- Organisation processes
- Equity and diversity principles
- Training options
- Recruitment procedures
- Induction procedures
- Code of Conduct

Underpinning Skills

- Oral and writteņcommunication
- Ability to work in a team
- Mentoring
- Cross-cultural competence, including gender and disability
- Evaluation and decision-making
- Negotiation

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Evidence Guide

Resource Implications

This unit of competency should be assessed through the performance of Board duties, but in the event that there is no opportunity to observe such a performance a simulated environment can be used but such simulation must replicate Board conditions in terms of: performing the task; managing a number of different tasks; coping with irregularities and breakdowns in routine; dealing with the responsibilities and expectations of the Board, including working with others; and transferring competency to other situations

Consistency of Performance

Knowledge and performance to be assessed over time to confirm consistency in performance

Context/s of Assessment

This competency should be assessed through the performance of Board duties, or may be assessed through an accurate simulation of Board duties

Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 2	Level 3	Level 2	Level 3	NA	Level 2	Level 1

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – document skills, expectations, contributions
- **Communicating ideas and information** – share skills; listen sensitively; encourage; mentor; discuss performance issues; provide constructive feedback; clearly express expectations
- **Planning and organising activities** – professional development; cultural enhancement
- **Working with teams and others** – fellow Board members, management, staff, community
- **Using mathematical ideas and techniques** – Not applicable in this unit
- **Solving problems** – different ways of working/learning; effects of past experiences
- **Using technology** – where appropriate for recording/accessing information

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSBATSIW416A Obtain and manage consultancy services

Unit Descriptor This unit covers the processes involved in the management of consultancy services.

Competency Field Business Management Services

Competency Domain Governance

Key Area Working with the Wider Community

Element	Performance Criteria
1. Establish the need for external advice	1.1 Required expertise not available in the organisation is identified and documented 1.2 Funds are obtained to contract outside expertise
2. Prepare terms of reference	2.1 A management group is formed to oversee the project 2.2 Terms of reference (consultancy brief) are prepared for the consultant services 2.3 Opportunities for paid community involvement are identified and included
3. Select a consultant	3.1 The terms of reference (consultancy brief) are widely advertised 3.2 A process for short listing is established including appointment of a selection panel 3.3 The most suitable applicant is selected according to the organisation's requirements 3.4 Successful and unsuccessful applicants are advised 3.5 The process of selection is documented
4. Prepare a contract	4.1 The Board's requirements of the consultant are stated 4.2 Legal advice is sought on the requirements and the contract 4.3 A contract is prepared in accordance with legal advice
5. Brief the consultant	5.1 Final details of the project are negotiated with the consultant 5.2 Expectations of performance and outcomes are agreed 5.3 The contract is finalised 5.4 The consultant is familiarised with the workplace and personnel
6. Receive reports from the consultant	6.1 Reports are received as required by the contract 6.2 Reports are evaluated against contractual requirements

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Element	Performance Criteria
	6.3 Follow up action is taken where required
7. Assess the consultant's performance	7.1 Performance reviews are carried out as required by the contract
	7.2 Progress payments are made against milestones
	7.3 Final payment is not made until the contract requirements have been met

Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Expertise required may include:

- planning
- evaluating services and procedures
- business development
- solving major problems
- training

Terms of reference may include:

- community aims
- community involvement
- required outcomes
- timelines
- expenses
- reporting requirements
- reviews
- payment schedule

Evidence Guide

The Evidence Guide identifies the critical aspects, underpinning knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- Integrated demonstration of all elements of competency and their performance criteria; and
- Appropriate consultancy services are obtained and used effectively

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating some theoretical concepts.

- Cultural context – Boards are upholders of traditional and cultural values. Relevant aspects of culture may include: cultural protocols, language (both Traditional and Aboriginal English), Aboriginal learning styles,

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cultural business, family and community responsibilities and local history

- Community control – community participation and control in decision-making are central to organisations and the role of Boards is to support the community in these processes
- Location and resources – organisations operate in diverse locations where cultural, social, economic and political conditions may vary widely. Also, acute resource shortages may also determine the options available
- Legal requirements – organisations operate under provisions of federal, state or territory legislation as legal entities and funding recipients which influence decision-making
- Equity and diversity principles
- Skill or competency needs of the organisation
- Forms of contract
- Sources of legal advice available and how these can be accessed

Underpinning Skills

- Written and spoken communication
- Project planning and costing
- Job design and description
- Evaluation and decision-making
- Negotiation

Resource Implications

This unit of competency should be assessed through the performance of Board duties, but in the event that there is no opportunity to observe such a performance a simulated environment can be used but such simulation must replicate Board conditions in terms of: performing the task; managing a number of different tasks; coping with irregularities and breakdowns in routine; dealing with the responsibilities and expectations of the Board, including working with others; and transferring competency to other situations

Consistency of Performance

Knowledge and performance to be assessed over time to confirm consistency in performance

Context/s of Assessment

This competency should be assessed through the performance of Board duties, or may be assessed through an accurate simulation of Board duties

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Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 3	Level 3	Level 3	Level 3	Level 1	Level 3	Level 1

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – that establishes the need for consultancy services, evaluating consultant applications
- **Communicating ideas and information** – discussing needs, participating in processes of selection, stating the Board's requirements
- **Planning and organising activities** – preparing terms of reference for the consultancy and establishing selection panel
- **Working with teams and others** – other Board members, manager, staff and legal advisers
- **Using mathematical ideas and techniques** – in evaluating applications
- **Solving problems** – choosing the most suitable for the organisation and community requirements, opportunities for paid community involvement sought
- **Using technology** – using communications technology

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSBATSIW417A Select and utilise technology

Unit Descriptor This unit covers assessing, utilising and evaluating new technologies within the organisation for the benefit of the organisation and the community.

Competency Field Business Management Services

Competency Domain Governance

Key Area Working with the Wider Community

Element	Performance Criteria
1. Assess technology needs	1.1 Organisation tasks that could be helped by technology are identified and documented 1.2 Independent technical advice is sought as necessary 1.3 A cost / benefit analysis is made
2. Acquire technology	2.1 Ways of acquiring or accessing technology other than by funding are investigated and documented 2.2 Costs of acquiring technology are investigated and documented 2.3 Sources of funding are investigated and documented 2.4 Funds are obtained for required technology and associated costs
3. Ensure staff are prepared for new technology	3.1 The need for technology training is evaluated 3.2 Trainers or mentors are nominated to train staff 3.3 Training is provided to staff who will use the technology
4. Use and evaluate technology	4.1 The technology is utilised 4.2 The effectiveness of technology use is evaluated 4.3 Actions are implemented

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Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Technology may include:
- information technology
- computer software packages
- new generation plant and equipment

Options to access technology may include:
- borrow
- lease or hire
- purchase

Evaluation may include:
- suitability
- effectiveness
- reliability
- human impacts

Evidence Guide

The Evidence Guide identifies the critical aspects, underpinning knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence
- Integrated demonstration of all elements of competency and their performance criteria; and
- Technology is used effectively for the benefit of the organisation and the community

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating some theoretical concepts.

- Cultural context – Boards are upholders of traditional and cultural values. Relevant aspects of culture may include: cultural protocols, language (both Traditional and Aboriginal English), Aboriginal learning styles, cultural business, family and community responsibilities and local history
- Community control – community participation and control in decision-making are central to organisations and the role of Boards is to support the community in these processes
- Location and resources – organisations operate in diverse locations where cultural, social, economic and political conditions may vary widely. Also, acute resource shortages may also determine the options available
- Legal requirements – organisations operate under

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Evidence Guide

	provisions of federal, state or territory legislation as legal entities and funding recipients which influence decision-making • Technology options • Funding sources
Underpinning Skills	• Planning training • Mentoring • Evaluation and decision-making
Resource Implications	This unit of competency should be assessed through the performance of Board duties, but in the event that there is no opportunity to observe such a performance a simulated environment can be used but such simulation must replicate Board conditions in terms of: performing the task; managing a number of different tasks; coping with irregularities and breakdowns in routine; dealing with the responsibilities and expectations of the Board, including working with others; and transferring competency to other situations
Consistency of Performance	Knowledge and performance to be assessed over time to confirm consistency in performance
Context/s of Assessment	This competency should be assessed through the performance of Board duties, or may be assessed through an accurate simulation of Board duties

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Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 2	Level 2	Level 2	Level 2	Level 1	Level 2	Level 2

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – conducting analysis of the cost and benefits to the organisation and community, gaining technical information and advice
- **Communicating ideas and information** – discussing options, questioning and clarifying advice
- **Planning and organising activities** – seeking funds, examining options, organising training for users
- **Working with teams and others** – other Board members, manager, staff, community and technical advisers
- **Using mathematical ideas and techniques** – regarding performance of the technology, investigating costs
- **Solving problems** – evaluating effectiveness to meet organisation and community needs
- **Using technology** – including computers, software, new plant and equipment

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSBATSIL501A Meet the roles and responsibilities of a Board member (2)

Unit Descriptor This unit covers the diverse roles and responsibilities of being a Board member. This unit, when combined with BSBATSIL508A Be a community leader and BSBATSIL502A Work with the manager, is equivalent to SRXGOV001A Participate as a member of an effective Board organisation.

Domain Governance

Key Area Community Leadership

Element	Performance Criteria
1. Follow the legal requirements when carrying out Board duties	1.1 Relevant provisions of the legislation under which the organisation operates are listed and described 1.2 Relevant aspects of Corporations Law are adhered to 1.3 The constitution of the organisation is adhered to 1.4 Workplace responsibilities are listed and complied with 1.5 The terms and conditions of funding agreements are complied with
2. Monitor trends and changes in the community	2.1 Community meetings are attended 2.2 The Board is informed of identified community needs 2.3 The community's needs are incorporated in Board policy 2.4 Policies are reviewed with respect to changing community needs
3. Receive and act on complaints	3.1 Complaints from the community about services are received and documented 3.2 Complaints are evaluated 3.3 Complaints are dealt with in accordance with policy and procedures 3.4 Decisions are documented and supported

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Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Legislation may include:

- Aboriginal Councils and Associations Act 1976
- state/territory Associations Acts
- Corporations Law
- Workplace Agreements Act
- federal, state/territory Occupational Health and Safety Statutes

Corporations Law may include:

- responsibilities of Board members
- liabilities of Board members

Workplace responsibilities may include:

- staff contracts
- Equal Opportunity
- Occupational Health and Safety

Community needs may include:

- health
- education/training
- child care
- housing
- employment

Evidence Guide

The Evidence Guide identifies the critical aspects, underpinning knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- Integrated demonstration of all elements of competency and their performance criteria; and
- Performance of all roles of a Board member

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating theoretical concepts, with substantial depth in some areas.

- Cultural context – Boards are upholders of traditional and cultural values. Relevant aspects of culture may include: cultural protocols, language (both Traditional and Aboriginal English), cultural business, family and community responsibilities and Aboriginal learning styles
- Community control – community participation and control in decision-making are central to organisations

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Evidence Guide

	and the role of Boards is to support the community in these processes • Location and resources – organisations operate in diverse locations where cultural, social, economic and political conditions may vary widely. Also, acute resource shortages may also determine the options available • Legal requirements – organisations operate under provisions of federal, state or territory legislation as legal entities and funding recipients which influence decision-making • Organisation, constitution, function, policies and procedures • Code of Conduct • Manager's contract
Underpinning Skills	• Oral and written communication • Ability to work in a team • Follow rules and regulations • Cross-cultural competence, including gender and disability • Evaluation and decision-making • Networking • Negotiation • Evaluation
Resource Implications	This unit of competency should be assessed through the performance of Board duties, but in the event that there is no opportunity to observe such a performance a simulated environment can be used but such simulation must replicate Board conditions in terms of: performing the task; managing a number of different tasks; coping with irregularities and breakdowns in routine; dealing with the responsibilities and expectations of the Board, including working with others; and transferring competency to other situations
Consistency of Performance	Knowledge and performance to be assessed over time to confirm consistency in performance
Context/s of Assessment	This competency should be assessed through the performance of Board duties, or may be assessed through an accurate simulation of Board duties

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Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 2	Level 2	Level 2	Level 3	Level 1	Level 2	Level 1

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – accessing and understanding legal requirements of Board members
- **Communicating ideas and information** – actively listening to community views, conveying community views to the Board, documenting decisions
- **Planning and organising activities** – including community meetings
- **Working with teams and others** – other Board members, staff and community
- **Using mathematical ideas and techniques** – to interpret trend information
- **Solving problems** – acting on complaints, reviewing policies
- **Using technology** – to access information

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSBATSIL502A Work with the Manager

Unit Descriptor This unit covers appointing the Manager, clarifying respective roles and working together effectively on an on-going basis. This unit, in combination with BSBATSIL508A Be a community leader and BSBATSIL501A Meet the roles and responsibilities of a Board member (2), is equivalent to SRXGOV001A Participate as a member of an effective Board organisation.

Competency Field Business Management Services

Competency Domain Governance

Key Area Community Leadership

Element	Performance Criteria
1. Appoint and monitor the Manager	1.1 Recruitment of the Manager is undertaken with appropriate assistance 1.2 Performance outcomes are drawn up and are included in the contract 1.3 The Manager's performance is regularly reviewed in accordance with the contract
2. Define the roles of Board and Manager	2.1 The leadership role of the Board is discussed, defined and documented 2.2 The duties of the Manager are clarified and documented 2.3 Where Board members are also employed staff, areas of responsibility are discussed and guidelines agreed and documented
3. Work with the Manager	3.1 Information and advice is received from the Manager and applied in decision-making 3.2 The Manager is instructed to implement policy decisions and follow specific directions 3.3 Feedback is received from the Manager about previous directions

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Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Appropriate independent assistance may include:	• senior government or non government personnel • consultants
Regular review may include:	• assessment against performance outcomes • interview • independent assessment
Leadership role may include:	• planning future directions • setting policies • making critical decisions • recruiting the CEO • representing the organisation
Areas of responsibility may include:	• confidentiality • authority

Evidence Guide

The Evidence Guide identifies the critical aspects, underpinning knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence	• Integrated demonstration of all elements of competency and their performance criteria; and • Performance of all roles of a Board member
Underpinning Knowledge*	• Cultural context – Boards are upholders of traditional and cultural values. Relevant aspects of culture may include: cultural protocols, language (both Traditional and Aboriginal English), cultural business, family and community responsibilities and Aboriginal learning styles • Community control – community participation and control in decision-making are central to organisations and the role of Boards is to support the community in these processes • Location and resources – organisations operate in diverse locations where cultural, social, economic and political conditions may vary widely. Also, acute

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating theoretical concepts, with substantial depth in some areas.

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Evidence Guide

	resource shortages may also determine the options available • Legal requirements – organisations operate under provisions of federal, state or territory legislation as legal entities and funding recipients which influence decision-making • Organisation constitution, function, policies and procedures • Code of Conduct • Manager's contract
Underpinning Skills	• Oral and written communication • Follow rules and regulations • Cross-cultural competence, including gender and disability • Evaluation and decision-making • Networking • Negotiation • Evaluation
Resource Implications	This unit of competency should be assessed through the performance of Board duties, but in the event that there is no opportunity to observe such a performance a simulated environment can be used but such simulation must replicate Board conditions in terms of: performing the task; managing a number of different tasks; coping with irregularities and breakdowns in routine; dealing with the responsibilities and expectations of the Board, including working with others; and transferring competency to other situations
Consistency of Performance	Knowledge and performance to be assessed over time to confirm consistency in performance
Context/s of Assessment	This competency should be assessed through the performance of Board duties, or may be assessed through an accurate simulation of Board duties

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Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 2	Level 2	Level 2	Level 3	Level 1	Level 2	Level 1

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – especially evaluating information, feedback and advice provided by the manager
- **Communicating ideas and information** – discussing and defining roles, participating in selection and appointment, and at meetings
- **Planning and organising activities** – attending meetings and discussions
- **Working with teams and others** – with Manager and other Board members, and consultants
- **Using mathematical ideas and techniques** – to assess manager's performance
- **Solving problems** – reviewing manager's performance
- **Using technology** – using communications technologies

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSBATSIL503A Manage conflict

Unit Descriptor This unit covers managing conflict within the Board, the organisation and between the organisation and the community and wider community.

Consider co-assesssment with BSBATSIL410A Manage stress and BSBATSIC411A Communicate with the community.

Competency Field Business Management Services

Competency Domain Governance

Key Area Community Leadership

Element	Performance Criteria
1. Assess potential conflict	1.1 Possible causes of conflict are identified and listed 1.2 Potential situations of future conflict are discussed 1.3 Strategies to prevent conflict are identified and documented
2. Consider the conflict situation	2.1 The implications of the conflict are identified and listed 2.2 The conflict is considered and responsibilities identified 2.3 Resolution strategies are developed and documented in consultation with the conflicting parties 2.4 Professional advice is sought where needed 2.5 The integrity of individuals and the organisation are ensured 2.6 Discretion and confidentiality are respected
3. Carry out strategies to resolve conflict	3.1 Strategies which respect culture are employed 3.2 Strategies are implemented promptly, appropriately and impartially 3.3 Time is allowed for the conflict to be resolved 3.4 The process of resolution is evaluated

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Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Causes of conflict may include:

- competing group, family or personal interests
- power and control issues
- lack of communication
- personality clashes
- cross-cultural issues
- differences between cultural groups
- dissatisfaction in the community
- competing needs
- lack of funding
- government interference

Situations of conflict may include:

- within the Board
- within the organisation
- between the organisation and the community
- between the organisation and the wider community

Resolution strategies may include:

- community / family meetings
- codes of conduct
- grievance policy and procedure
- listening and respect
- cultural resolution strategies
- memorandums of understanding

Legal implications may include:

- breaches of contract
- personal actions

Social implications may include:

- community divisions
- breakdown in social cohesion

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Evidence Guide

The Evidence Guide identifies the critical aspects, underpinning knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- Integrated demonstration of all elements of competency and their performance criteria; and
- Diversity may lead to conflict
- Conflict resolution styles may be culturally bound
- Conflict is managed productively

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating theoretical concepts, with substantial depth in some areas.

- Cultural context – Boards are upholders of traditional and cultural values. Relevant aspects of culture may include: cultural protocols, language (both Traditional and Aboriginal English), cultural business, family and community responsibilities and Aboriginal learning styles
- Community control – community participation and control in decision-making are central to organisations and the role of Boards is to support the community in these processes
- Location and resources – organisations operate in diverse locations where cultural, social, economic and political conditions may vary widely. Also, acute resource shortages may also determine the options available
- Legal requirements – organisations operate under provisions of federal, state or territory legislation as legal entities and funding recipients which influence decision-making
- Organisation processes
- Equity and diversity principles
- Conflict resolution strategies
- Professional support

Underpinning Skills

- Communication
- Ability to work in a team
- Cross-cultural competence, including gender and disability
- Evaluation and decision-making
- Networking
- Negotiation

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Evidence Guide

Resource Implications

This unit of competency should be assessed through the performance of Board duties, but in the event that there is no opportunity to observe such a performance a simulated environment can be used but such simulation must replicate Board conditions in terms of: performing the task; managing a number of different tasks; coping with irregularities and breakdowns in routine; dealing with the responsibilities and expectations of the Board, including working with others; and transferring competency to other situations

Consistency of Performance

Knowledge and performance to be assessed over time to confirm consistency in performance

Context/s of Assessment

This competency should be assessed through the performance of Board duties, or may be assessed through an accurate simulation of Board duties

Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 2	Level 2	Level 2	Level 3	Level 1	Level 3	Level 1

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – about potential causes of conflict and strategies for resolving
- **Communicating ideas and information** – discussing potential and actual conflict situations, consult with conflicting parties, documenting resolutions reached
- **Planning and organising activities** – planning resolution strategies, using strategies that respect culture
- **Working with teams and others** – other Board members, managers, staff, community members, seeking professional help where necessary
- **Using mathematical ideas and techniques** – to record incidents
- **Solving problems** – evaluating success of resolution strategies
- **Using technology** – using communication technology

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSBATSIM504A Develop organisational policies

Unit Descriptor This unit covers developing the organisation's operational policies to serve the organisation and the community effectively.

Consider co-assessment with BSBATSIC411A Communicate with the community.

Competency Field Business Management Services

Competency Domain Governance

Key Area Managing the Organisation

Element	Performance Criteria
1. Design the process for developing policy	1.1 A group to develop policy is established 1.2 Procedures are agreed and documented 1.3 The community is consulted where appropriate 1.4 The need for expertise advice is determined 1.5 Tasks are delegated
2. Obtain background information needed for policy development	2.1 Key areas of operation requiring policy development are identified and documented 2.2 Relevant previous Board decisions are located and listed 2.3 Additional information is identified and obtained
3. Develop draft policy and procedure	3.1 Policy is drafted for each area of organisation activity 3.2 The vision of the organisation is reflected in policy 3.3 Legal aspects and funding conditions are adhered to 3.4 Constitutional aspects are adhered to 3.5 Cultural issues are adhered to
4. Approve policy	4.1 The draft policy is considered by the Board 4.2 An explanation of the policy is provided to the community and endorsement is sought 4.3 The draft policy is signed off by the Board 4.4 Approved policy is documented and stored in an accessible form
5. Implement policy	5.1 Others are informed of the Board decision 5.2 Decision-making is evaluated to confirm consistency with policy 5.3 Organisation procedures are evaluated to confirm consistency with policies

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Element	Performance Criteria
6. Review and amend policy as required	6.1 Policies are regularly reviewed to ensure the organisation's vision is maintained 6.2 Policies are amended and documented where appropriate

Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

A policy development group may include:

- community members
- Board members
- staff members
- expert advisors

Additional information may include:

- examples of policies from other organisations
- relevant research
- funding terms and conditions

Policy areas may include:

- Board processes
- programs and services
- training
- workplace relations
- finance
- asset management

Cultural issues may include:

- Traditional responsibilities
- family obligations
- gender

Others may include:

- staff
- clients
- community
- other organisations

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Evidence Guide

The Evidence Guide identifies the critical aspects, underpinning knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- Integrated demonstration of all elements of competency and their performance criteria, and
- Organisation policies are developed consistent with the organisation's vision and purpose

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating theoretical concepts, with substantial depth in some areas.

- Cultural context – Boards are upholders of traditional and cultural values. Relevant aspects of culture may include: cultural protocols, language (both Traditional and Aboriginal English), Aboriginal learning styles, cultural business, family and community responsibilities and local history
- Community control – community participation and control in decision-making are central to organisations and the role of Boards is to support the community in these processes
- Location and resources – organisations operate in diverse locations where cultural, social, economic and political conditions may vary widely. Also, acute resource shortages may also determine the options available
- Legal requirements – organisations operate under provisions of federal, state or territory legislation as legal entities and funding recipients which influence decision-making
- Organisation constitution, vision, purpose and processes
- Equity and diversity principles

Underpinning Skills

- Oral and written communication
- Ability to work in a team
- Cross-cultural competence, including gender and disability
- Evaluation and decision-making
- Research
- Negotiation

Evidence Guide

Resource Implications

This unit of competency should be assessed through the performance of Board duties, but in the event that there is no opportunity to observe such a performance a simulated environment can be used but such simulation must replicate Board conditions in terms of: performing the task; managing a number of different tasks; coping with irregularities and breakdowns in routine; dealing with the responsibilities and expectations of the Board, including working with others; and transferring competency to other situations

Consistency of Performance

Knowledge and performance to be assessed over time to confirm consistency in performance

Context/s of Assessment

This competency should be assessed through the performance of Board duties, or may be assessed through an accurate simulation of Board duties

Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 3	Level 3	Level 2	Level 3	Level 1	Level 3	Level 1

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – researching policy needs; documenting decisions; storing and retrieving documents
- **Communicating ideas and information** – drafting policy and procedures; consulting with community; informing others of Board decisions
- **Planning and organising activities** – delegating activities
- **Working with teams and others** – with policy-formulation team, individual community members, representative groups and Board
- **Using mathematical ideas and techniques** – to analyse funding requirements; quantitative evaluation of policy outcomes
- **Solving problems** – by identifying policy effects and amending where appropriate; evaluate consistency of procedures with policy and vision.
- **Using technology** – as aid to analysis and communication

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSBATSIM505A Control organisation finances

Unit Descriptor This unit covers the establishment and maintenance of effective financial management within the organisation to ensure Board control of finances and external accountability to statutory authorities and funding bodies.

Competency Field Business Management Services

Competency Domain Governance

Key Area Managing the Organisation

Element	Performance Criteria
1. Establish a financial management structure	1.1 A structure is established to undertake regular finance responsibilities on behalf of the Board 1.2 Respective responsibilities of the Board and management are documented 1.3 Financial information required for the Board from management is determined 1.4 Advice is sought and documented relating to suitable financial management systems for the organisation 1.5 Relevant statutory requirements are identified and documented
2. Ensure management processes and systems are set up	2.1 The necessary bank accounts are opened 2.2 Signatories for the bank accounts are nominated 2.3 Authority and delegation between the Board and management are documented 2.4 Statutory requirements are maintained 2.5 Duties of finance staff are documented 2.6 Accepted procedures for receiving and expending funds are established and maintained by management 2.7 Accepted systems for financial reporting are established and maintained by management
3. Sign contracts on behalf of the organisation	3.1 Proposed contractual arrangements are checked to ensure they are realistic for the organisation and are in the community's interests 3.2 Contracts are signed under the Corporate Seal by relevant Board office bearers and members 3.3 Procedures for documenting contracts are developed, documented and adhered to
4. Follow finance procedures	4.1 Variations to financial agreements are sought from relevant funding bodies

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Element	Performance Criteria
	4.2 Purchasing and disposal procedures specified by funding bodies are followed
	4.3 Requirements for documentation are followed
5. Advise the community of the financial situation of the organisation	5.1 The financial report is presented at General Meetings in a way that can be generally understood
	5.2 Financial information is made available to members of the organisation as specified in the constitution and in a way that can be understood
6. Ensure the reporting requirements of the relevant corporate authority and funding bodies are met	6.1 Quarterly and annual financial statements are completed within the time frame required by funding bodies
	6.2 The organisation's auditor is appointed at the AGM
	6.3 The audit is completed within the time frame and analysed by the Board
	6.4 The audit report is forwarded to the relevant corporate authority and funding bodies

Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Financial management responsibilities may include:	• entering into funding agreements • approve expenditures • vary the agreed budget
Bank signatories may include:	• Board members only • a combination of Board members and management • management only within limits
Statutory requirements may include:	• taxation • GST • worker's compensation • superannuation
Financial recording systems may include:	• computer based systems • manual systems
Financial information may include:	• monthly income and expenditure figures • financial projections

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Range Statement

Financial management decisions may include:

- approve / decline expenditures
- budget variations

Relevant corporate authorities and funding bodies may include:

- Registrar of Aboriginal Corporations
- Commonwealth, State or Territory Departments

Evidence Guide

The Evidence Guide identifies the critical aspects, underpinning knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- Integrated demonstration of all elements of competency and their performance criteria, and
- The organisation's finances are understood and properly managed

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating theoretical concepts, with substantial depth in some areas.

- Cultural context – Boards are upholders of traditional and cultural values. Relevant aspects of culture may include: cultural protocols, language (both Traditional and Aboriginal English), Aboriginal learning styles, cultural business, family and community responsibilities and local history
- Community control – community participation and control in decision-making are central to organisations and the role of Boards is to support the community in these processes
- Location and resources – organisations operate in diverse locations where cultural, social, economic and political conditions may vary widely. Also, acute resource shortages may also determine the options available
- Legal requirements – organisations operate under provisions of federal, state or territory legislation as legal entities and funding recipients which influence decision-making
- Organisation processes
- Financial responsibilities
- Financial procedures
- Available financial support services

Underpinning Skills

- Written and oral communication
- Reading accounts
- Delegation

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- Evaluation and decision-making
- Negotiation

Resource Implications

This unit of competency should be assessed through the performance of Board duties, but in the event that there is no opportunity to observe such a performance a simulated environment can be used but such simulation must replicate Board conditions in terms of: performing the task; managing a number of different tasks; coping with irregularities and breakdowns in routine; dealing with the responsibilities and expectations of the Board, including working with others; and transferring competency to other situations

Consistency of Performance

Knowledge and performance to be assessed over time to confirm consistency in performance

Context/s of Assessment

This competency should be assessed through the performance of Board duties, or may be assessed through an accurate simulation of Board duties

Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 2	Level 2	Level 2	Level 2	Level 2	Level 2	Level 1

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – identify statutory responsibilities; scrutinise contracts for community interest
- **Communicating ideas and information** – document Board and management roles; document contract processes; interpret financial reports in manner that is understandable by community
- **Planning and organising activities** – establish financial management structure;
- **Working with teams and others** – finance staff; Board; bank; auditor; authorities; community
- **Using mathematical ideas and techniques** – to measure and forecast financial position
- **Solving problems** – seek agreement for variations from plan; deal with resource shortages, location difficulties
- **Using technology** – in financial recording systems

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSBATSIM506A Develop employment policies

Unit Descriptor This unit covers the development policies for the employment of staff and the commitment to fair and equitable staffing practices within the organisation.

Competency Field Business Management Services

Competency Domain Governance

Key Area Managing the Organisation

Element	Performance Criteria
1. Develop policy with respect to staff	1.1 The responsibilities of employers are understood 1.2 Staffing policies are negotiated with staff (and unions if appropriate) and endorsed 1.3 Policies and procedures are documented and communicated throughout the organisation
2. Ensure staff policies and procedures are implemented	2.1 Procedures flowing from endorsed policies are developed and documented 2.2 Induction process for new staff are established and implemented 2.3 Effective communication is maintained with staff (and unions if applicable) about changes to policies and procedures affecting employment 2.4 On-going external resources with respect to industrial relations advice and representation are identified and accessed as required 2.5 Individual contracts for employees are developed and signed as necessary within the enterprise agreement or award
3. Monitor and review staffing policies	3.1 A body is established to review staffing policy 3.2 Outside industrial influences are monitored and impacts relevant to the organisation are assessed and documented 3.3 Regular safety checks are undertaken and safety reports endorsed 3.4 Grievance procedures are reviewed regularly 3.5 All aspects of policy and procedure are independently audited 3.6 Results of reviews and audits are considered and changes endorsed and documented

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Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Responsibilities of employers may include

- state/territory and federal legislation
- IR and OHS laws
- duty of care
- supervision
- training
- conditions of relevant awards

Staffing policies may include:

- awards and agreements
- contracts
- induction for new staff
- safety
- workplace rules and staff discipline
- disputes (management and staff)
- grievance procedures

Industrial relations advice may include:

- independent workplace audits
- mediation
- counselling

Enterprise agreements may include:

- range of positions
- minimum rates of pay
- dispute resolution
- general employment conditions

A review body may include:

- Board sub-committee or portfolio
- joint management and staff working group

Industrial influences may include:

- changes to legislation
- award increases
- changing technologies
- union involvement

Audits may include:

- staff meetings
- surveys

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Evidence Guide

The Evidence Guide identifies the critical aspects, underpinning knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- Integrated demonstration of all elements of competency and their performance criteria, and
- Workplace relations are managed harmoniously

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating theoretical concepts, with substantial depth in some areas.

- Cultural context – Boards are upholders of traditional and cultural values. Relevant aspects of culture may include: cultural protocols, language (both Traditional and Aboriginal English), Aboriginal learning styles, cultural business, family and community responsibilities and local history
- Community control – community participation and control in decision-making are central to organisations and the role of Boards is to support the community in these processes
- Location and resources – organisations operate in diverse locations where cultural, social, economic and political conditions may vary widely. Also, acute resource shortages may also determine the options available
- Legal requirements – organisations operate under provisions of federal, state or territory legislation as legal entities and funding recipients which influence decision-making
- Organisation processes
- State/territory and federal legislation including IR and OHS laws
- Duty of care
- Relevant awards
- Equity and diversity principles

Underpinning Skills

- Written and oral communication
- Ability to work in a team
- Cross-cultural competence, including gender and disability
- Evaluation and decision-making
- Negotiation

Resource Implications

This unit of competency should be assessed through the performance of Board duties, but in the event that there is no opportunity to observe such a performance a simulated environment can be used but such simulation must

Evidence Guide

	replicate Board conditions in terms of: performing the task; managing a number of different tasks; coping with irregularities and breakdowns in routine; dealing with the responsibilities and expectations of the Board, including working with others; and transferring competency to other situations
Consistency of Performance	Knowledge and performance to be assessed over time to confirm consistency in performance
Context/s of Assessment	This competency should be assessed through the performance of Board duties, or may be assessed through an accurate simulation of Board duties

Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 2	Level 2	Level 2	Level 2	Level 1	Level 2	Level 1

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – relevant legislation; new/existing contracts, awards, agreements
- **Communicating ideas and information** – document policies; inform management/staff about policies/practices and foreshadowed changes to them; negotiate outcomes
- **Planning and organising activities** – induction; training, supervision; audits
- **Working with teams and others** – individual staff; management; staff review group; unions; auditors of procedures
- **Using mathematical ideas and techniques** – to interpret surveys, audits
- **Solving problems** – disputes/grievances; outside industrial influences;
- **Using technology** – where appropriate for document retrieval/interpretation

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSBATSIM507A Establish and maintain a strategic planning cycle

Unit Descriptor This unit covers the planning process to assist Board members develop and implement a strategic planning cycle.

Competency Field Business Management Services

Competency Domain Governance

Key Area Managing the Organisation

Element	Performance Criteria
1. Define planning	1.1 The need to plan and how to proceed are clarified 1.2 Outcomes of what is to be achieved are identified and documented 1.3 The community and staff are included in the planning process
2. Develop a map of the organisation	2.1 Client groups and target activity areas are defined and documented 2.2 Organisation resources are discussed and documented 2.3 Service allies and competitors are identified and documented 2.4 Positive and negative changes in the wider community are identified, discussed and documented
3. Clarify the philosophy, beliefs and values of the organisation	3.1 The importance of organisation philosophy is explained and documented 3.2 Values within the organisation are identified and documented 3.3 An agreed philosophy statement is discussed, documented and endorsed by the Board
4. Develop the organisation's vision statement	4.1 A vision statement and its importance is outlined and agreed 4.2 The draft vision statement is developed and documented 4.3 The draft vision statement is reviewed, amended and endorsed by the Board

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Element	Performance Criteria
5. Develop organisational objectives	5.1 The importance of organisational objectives is explained and documented 5.2 Objectives for key aspects of the vision are developed and drafted 5.3 Realistic outcome statements are identified and documented 5.4 Objectives are reviewed and endorsed by the Board
6. Develop strategies and an action plan	6.1 Strategies and the action plan are discussed and illustrated 6.2 Special factors which may affect success are identified and documented 6.3 Strategies are developed and documented for each objective 6.4 A broad action plan for 3-5 years is developed 6.5 The overall plan is reviewed and endorsed by the Board
7. Evaluate the plan	7.1 Evaluation of the plan is discussed and future processes documented 7.2 The vision, objectives, strategies and the action plan are reviewed and amended as required and documented

Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

All levels of the organisation:	• Board • senior management • staff
Organisation resources may include:	• people expertise • buildings • capital equipment • political influence
Changes in the wider community may include:	• legislation • funding sources • new competitors

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Range Statement

Values may include:
- heritage
- culture
- community
- family
- business practices
- service / product standards
- staff management

Vision may include:
- long term community goals
- organisational goals

Objectives may include:
- financial
- services / products
- human resources
- Board practices

Strategies may include:
- programs
- community involvement
- culture

Special factors may include:
- technical
- resources
- political
- cultural

Form and process of evaluation may include:
- types of information
- timing
- personnel
- community involvement

Evidence Guide

The Evidence Guide identifies the critical aspects, underpinning knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- Integrated demonstration of all elements of competency and their performance criteria, and
- A strategic planning cycle is established and maintained

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating theoretical concepts, with substantial depth in some areas.

- Cultural context – Boards are upholders of traditional and cultural values. Relevant aspects of culture may include: cultural protocols, language (both Traditional and Aboriginal English), Aboriginal learning styles, cultural business, family and community responsibilities and local history
- Community control – community participation and control in decision-making are central to organisations and the role of Boards is to support the community in these processes
- Location and resources – organisations operate in diverse locations where cultural, social, economic and political conditions may vary widely. Also, acute resource shortages may also determine the options available
- Legal requirements – organisations operate under provisions of federal, state or territory legislation as legal entities and funding recipients which influence decision-making
- Organisation processes
- Equity and diversity principles
- Code of Conduct

Underpinning Skills

- Oral and writteņcommunication
- Ability to work in a team
- Cross-cultural competence, including gender and disability
- Evaluation and decision-making
- Negotiation

Resource Implications

This unit of competency should be assessed through the performance of Board duties, but in the event that there is no opportunity to observe such a performance a simulated environment can be used but such simulation must replicate Board conditions in terms of: performing the task; managing a number of different tasks; coping with

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Evidence Guide

	irregularities and breakdowns in routine; dealing with the responsibilities and expectations of the Board, including working with others; and transferring competency to other situations
Consistency of Performance	Knowledge and performance to be assessed over time to confirm consistency in performance
Context/s of Assessment	This competency should be assessed through the performance of Board duties, or may be assessed through an accurate simulation of Board duties

Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 2	Level 2	Level 2	Level 2	Level 1	Level 2	Level 1

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – document activities/goals; research statement of vision/philosophy; work with constitution, legislation
- **Communicating ideas and information** – engage community; explain organisation philosophy; draft statements; discuss strategies/processes
- **Planning and organising activities** – draft/review action plan
- **Working with teams and others** – fellow Board members; client groups; allies and competitors; management and staff
- **Using mathematical ideas and techniques** – in financial analysis, capital expenditure
- **Solving problems** – special factors which may limit success: technical, political, cultural
- **Using technology** – where required to access/prepare documents, financials

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

BSBATSIL508A Be a community leader

Unit Descriptor This unit covers the leadership role by members of the Board.

Consider co-assessment with BSBATSIL410A Manage stress, BSBATSIC411A Communicate with the community, and BSBATSIW514A Represent your organisation.

Competency Field Business Management Services

Competency Domain Governance

Key Area Community Leadership

Element	Performance Criteria
1. Be informed about the community	1.1 Information is gathered and documented on social, cultural and economic needs of all sections of the community 1.2 Information is assessed objectively 1.3 Protocols are followed with respect to information sharing 1.4 Confidentiality is respected
2. Lead by example	2.1 Knowledge and skills are used to communicate effectively 2.2 Community values are demonstrated 2.3 Changes that may affect the organisation and the community are recognised and their implications discussed 2.4 Change is implemented in a culturally sensitive way 2.5 Responsibilities towards others are recognised
3. Encourage others	3.1 The involvement of other members of the community is encouraged 3.2 Those with abilities relevant to particular issues are encouraged to actively participate 3.3 Work is undertaken as a community and team
4. See the big picture	4.1 Opinions are formed after researching the background to community issues 4.2 Regional, state/territory and national Aboriginal and Torres Strait Islander and non-Aboriginal and Torres Strait Islander affairs are considered 4.3 Elders, government departments and others are consulted 4.4 Other points of view are considered

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Element	Performance Criteria
5. Provide directions	5.1 Options are identified, developed and documented 5.2 Options are presented for community discussion 5.3 Agreed directions are presented to forums in the wider community
6. Make decisions and follow them	6.1 Clear, rational decisions are made which reflect community wishes 6.2 Decisions are made where there are differing views in the community 6.3 Elders and others are informed as to how and why decisions were made 6.4 Decisions are documented and adhered to
7. Negotiate with others to promote community interests	7.1 Community interests in dealing with government, business and other organisations are given priority 7.2 Other points of view are listened to and recorded 7.3 The views of the Board are represented 7.4 Outcomes which represent the best possible solutions for the community at the time are negotiated and documented
8. See both sides of community issues	8.1 Aboriginal and Torres Strait Islander and non-Aboriginal and Torres Strait Islander points of view are included 8.2 Decisions which reflect the well being of the whole community in the long term are worked for

Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Social, cultural and economic needs may include:

- housing, education, health
- Law and ceremony
- employment

Protocols for information sharing may include:

- men/women's business
- land matters

Community values include:

- truthfulness
- respect for others

Range Statement

'Others' may include:

- Traditional Owners
- community members

Decision making processes may include:

- consultation with Elders
- consensus
- assistance of managers where community opinions differ

Evidence Guide

The Evidence Guide identifies the critical aspects, underpinning knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- Integrated demonstration of all elements of competency and their performance criteria; and
- Constructive outcomes from the performance of a leadership role

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating theoretical concepts, with substantial depth in some areas.

- Cultural context – Boards are upholders of traditional and cultural values. Relevant aspects of culture may include: cultural protocols, language (both Traditional and Aboriginal English), Aboriginal learning styles, cultural business, family and community responsibilities and local history
- Community control – community participation and control in decision-making are central to organisations and the role of Boards is to support the community in these processes
- Location and resources – organisations operate in diverse locations where cultural, social, economic and political conditions may vary widely. Also, acute resource shortages may also determine the options available
- Legal requirements – organisations operate under provisions of federal, state or territory legislation as legal entities and funding recipients which influence decision-making
- Organisation processes
- Equity and diversity principles

Underpinning Skills

- Oral and written communication
- Ability to work in a team
- Mentoring
- Cross-cultural competence, including gender and disability

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Evidence Guide

- Evaluation and decision-making
- Networking
- Negotiation

Resource Implications

This unit of competency should be assessed through the performance of Board duties, but in the event that there is no opportunity to observe such a performance a simulated environment can be used but such simulation must replicate Board conditions in terms of: performing the task; managing a number of different tasks; coping with irregularities and breakdowns in routine; dealing with the responsibilities and expectations of the Board, including working with others; and transferring competency to other situations

Consistency of Performance

Knowledge and performance to be assessed over time to confirm consistency in performance

Context/s of Assessment

This competency should be assessed through the performance of Board duties, or may be assessed through an accurate simulation of Board duties

Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 2	Level 2	Level 2	Level 3	Level 1	Level 2	Level 1

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – gathering and assessing information on social, cultural and economic community needs, researching the background
- **Communicating ideas and information** – sharing information, discussing changes affecting community, making presentations to forums, negotiating on behalf of the community
- **Planning and organising activities** – encouraging community members to participate
- **Working with teams and others** – with Board members, Elders and other community people, managers, governments, business people and others
- **Using mathematical ideas and techniques** – to evaluate information
- **Solving problems** – determining confidentiality, identifying options and making decisions that reflect well being of the community
- **Using technology** – in researching background

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

BSBATSIL509A Manage self as a Board member

Unit Descriptor This unit covers presenting as a confident member of the Board, respecting culture, contributing positively, working with others and seeing the big picture.

Consider co-assessment with BSBATSIL503A Manage conflict, BSBATSIC411A Communicate with the community and BSBATSIW514A Represent your organisation.

Competency Field Business Management Services

Competency Domain Governance

Key Area Community Leadership

Element	Performance Criteria
1. Act in accordance with culture	1.1 Respect for local history is demonstrated 1.2 Community protocols are identified and followed
2. Act within professional boundaries	2.1 Personal legal responsibilities under corporations law are adhered to 2.2 The Code of Conduct is followed 2.3 Conflicts in role for Board members who are also staff are identified and managed 2.4 Conduct of Board member is exercised without compromising the safety of self or others
3. Participate actively	3.1 Meetings and other activities are attended regularly 3.2 Contributions to discussions are positive and constructive 3.3 Meetings are prepared for and followed up with diligence
4. Encourage and respect contributions from others	4.1 Others' points of view are listened to 4.2 The community's views are represented objectively 4.3 The community is provided with feedback 4.4 Consensus is sought
5. Work with the wider community	5.1 Local Aboriginal and Torres Strait Islander and non-Aboriginal and Torres Strait Islander issues are kept up to date 5.2 Cooperative actions involving other groups are identified and undertaken 5.3 The values, policies and processes of other groups are respected

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Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Local history may include:	• defining events • economic development • cultural diversity
Community protocols may include:	• gender • kinship • land ownership • birth, marriage and death
Legal responsibilities under corporation law may include:	• responsibilities - honesty, due diligence, declaring interests • liabilities - decisions and actions that might affect the organisation adversely
Code of Conduct may include:	• declarations of conflicts of interest • declarations of pecuniary interest
Safety of others may include:	• responsibilities to staff • services/products to the community
Code of Conduct may include:	• declarations of conflicts of interest • declarations of pecuniary interest
Local Aboriginal and Torres Strait Islander and Non-Aboriginal and Torres Strait Islander issues may include:	• competing interests in land • other developments • community tension around crime and alcohol use
Other groups may include:	• Aboriginal and Torres Strait Islander organisations • Local Government • local business

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Evidence Guide

The Evidence Guide identifies the critical aspects, underpinning knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- Integrated demonstration of all elements of competency and their performance criteria; and
- Constructive outcomes as a member of the Board

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating theoretical concepts, with substantial depth in some areas.

- Cultural context – Boards are upholders of traditional and cultural values. Relevant aspects of culture may include: cultural protocols, language (both Traditional and Aboriginal English), cultural business, family and community responsibilities and Aboriginal learning styles
- Community control – community participation and control in decision-making are central to organisations and the role of Boards is to support the community in these processes
- Location and resources – organisations operate in diverse locations where cultural, social, economic and political conditions may vary widely. Also, acute resource shortages may also determine the options available
- Legal requirements – organisations operate under provisions of federal, state or territory legislation as legal entities and funding recipients which influence decision-making
- Community history
- Organisation processes
- Corporations Law
- Rules of the constitution

Underpinning Skills

- Written and oral communication
- Ability to work in a team
- Cross-cultural competence, including gender and disability
- Evaluation and decision-making
- Networking
- Negotiation

Resource Implications

This unit of competency should be assessed through the performance of Board duties, but in the event that there is no opportunity to observe such a performance a simulated environment can be used but such simulation must replicate Board conditions in terms of: performing the

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	task; managing a number of different tasks; coping with irregularities and breakdowns in routine; dealing with the responsibilities and expectations of the Board, including working with others; and transferring competency to other situations
Consistency of Performance	Knowledge and performance to be assessed over time to confirm consistency in performance
Context/s of Assessment	This competency should be assessed through the performance of Board duties, or may be assessed through an accurate simulation of Board duties

Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 2	Level 3	Level 2	Level 3	Level 1	Level 2	Level 1

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – about local history and community protocols, Indigenous and wider community issues and preparing for meetings
- **Communicating ideas and information** – listening to other points of view, representing community views, providing feedback to the community
- **Planning and organising activities** – following Code of Conduct, regular attendance at meetings
- **Working with teams and others** – other Board members,
- **Using mathematical ideas and techniques** – to understand information in Board papers
- **Solving problems** – managing competing interests and demands, identifying conflicts of interest, declaring pecuniary interest
- **Using technology** – using communications technology

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

BSBATSIC510A Conduct a community meeting

Unit Descriptor This unit covers the planning and conducting of community meetings, including bush meetings, which the Board may initiate or facilitate.

Consider co-assessment with BSBATSIC411A Communicate with the community.

Competency Field Business Management Services

Competency Domain Governance

Key Area Working with Your Community

Element	Performance Criteria
1. Negotiate the basis of a meeting and plan the event	1.1 Consultation as to the purpose of the proposed meeting, location, date and time is undertaken with appropriate people 1.2 The broad agenda and list of invited guests is agreed upon by the appropriate people 1.3 Details of the meeting are communicated to relevant community groups 1.4 Venue, travel, meals and accommodation are organised 1.5 The requirements of people with special needs are addressed to ensure equity and access issues are not ignored
2. Promote the meeting	2.1 Information regarding the meeting is circulated to the community and invited guests 2.2 Key people are contacted and provided details of the meeting
3. Conduct the meeting	3.1 The Chairperson for the meeting is agreed according to community procedure 3.2 Relevant meeting protocols are followed to ensure consistency in the conduct of the meetings 3.3 All points of view are acknowledged through appropriate processes of discussion and documentation 3.4 Full participation is encouraged 3.5 Consensus in decision-making is sought 3.6 Difficult situations are managed appropriately

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Element	Performance Criteria
4. Record decisions	4.1 Recommended actions resulting from decisions are clarified and noted 4.2 People and organisations responsible for actions are nominated 4.3 Decisions and recommended actions are recorded
5. Communicate outcomes	5.1 Meeting outcomes are shared with participants and relevant others 5.2 Participants are advised to utilise their networks to communicate information and decisions
6. Implement decisions	6.1 Decisions of the meeting are actioned through relevant individuals, groups and agencies 6.2 Results are reported to participating Elders and organisations through established channels

Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Appropriate people may include:
- Elders
- Traditional Owners

Invited guests may include:
- government representatives
- mining companies
- Land Councils

Methods of communication may include:
- facsimile
- notices
- networks

Providing bodies may include:
- ATSIC
- Land Councils
- state Aboriginal Affairs Departments

Special needs may include:
- interpreters
- child care
- disabilities

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Range Statement

Protocols may include:

- introductions / welcomes
- land / gender / clan issues
- order of speakers
- minute taking
- agenda formats

Meeting processes may include:

- forms of discussion
- decision-making
- language
- gender groups

Difficult situations may include:

- conflict
- impasse in decision making
- organisational

Evidence Guide

The Evidence Guide identifies the critical aspects, underpinning knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- Integrated demonstration of all elements of competency and their performance criteria; and
- Ad hoc meetings are conducted effectively

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating theoretical concepts, with substantial depth in some areas.

- Cultural context – Boards are upholders of traditional and cultural values. Relevant aspects of culture may include: cultural protocols, language (both Traditional and Aboriginal English), Aboriginal learning styles, cultural business, family and community responsibilities and local history
- Community control – community participation and control in decision-making are central to organisations and the role of Boards is to support the community in these processes
- Location and resources – organisations operate in diverse locations where cultural, social, economic and political conditions may vary widely. Also, acute resource shortages may also determine the options available
- Legal requirements – organisations operate under provisions of federal, state or territory legislation as legal entities and funding recipients which influence decision-making

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Evidence Guide

	• Organisation processes • Equity and diversity principles • Relevant community bodies
Underpinning Skills	• Oral or written communication • Cross-cultural competence, including gender and disability • Evaluation and decision-making • Networking • Negotiation
Resource Implications	This unit of competency should be assessed through the performance of Board duties, but in the event that there is no opportunity to observe such a performance a simulated environment can be used but such simulation must replicate Board conditions in terms of: performing the task; managing a number of different tasks; coping with irregularities and breakdowns in routine; dealing with the responsibilities and expectations of the Board, including working with others; and transferring competency to other situations
Consistency of Performance	Knowledge and performance to be assessed over time to confirm consistency in performance
Context/s of Assessment	This competency should be assessed through the performance of Board duties, or may be assessed through an accurate simulation of Board duties

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Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 2	Level 2	Level 3	Level 3	Level 1	Level 2	Level 1

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – agenda, minutes, background papers, meeting protocol. constitution
- **Communicating ideas and information** – discuss basis of meeting; draft agenda; inform others of meeting requirements; circulate background information; follow/enforce relevant protocols; record decisions; report outcomes to Elders and others
- **Planning and organising activities** – venues, travel, meals etc; follow-up on decisions
- **Working with teams and others** – guests, community, ATSIC, land councils, government, companies
- **Using mathematical ideas and techniques** – in areas of logistics/finance
- **Solving problems** – lack of consensus; difficult situations, conflict
- **Using technology** – to create/circulate invitations; record meeting and decisions; publicise decisions

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSBATSIM511A Develop enterprise opportunities

Unit Descriptor This unit covers the identification, assessment and development of business opportunities in consultation with the community in order to increase self reliance and expand employment.

Consider co-assessment with BSBATSIL501A Meet the role and responsibilities of a Board member (2).

Competency Field Business Management Services

Competency Domain Governance

Key Area Managing the Organisation

Element	Performance Criteria
1. Expand existing activities	1.1 Small business initiatives and employment goals and objectives are agreed and documented 1.2 Present activities are evaluated with respect to viability and future potential 1.3 Expert advice is sought where appropriate 1.4 Viable businesses are supported
2. Develop business ideas and options	2.1 The community is canvassed with respect to ideas 2.2 Potential skills and abilities in the community are identified and documented 2.3 Potential markets are explored and listed 2.4 Information is sought from business services
3. Evaluate business options	3.1 Potentially viable businesses are assessed 3.2 Feasibility studies are conducted by appropriately skilled personnel 3.3 Community input is sought and documented 3.4 Options are considered and listed 3.5 Final decisions are made and documented 3.6 Business plans are completed by appropriately skilled personnel

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Element	Performance Criteria
4. Implement business proposals	4.1 Structures to action business developments are established 4.2 Partnerships are established where appropriate 4.3 Monitoring and review mechanisms are established 4.4 Achievable targets and time frames are set and documented 4.5 Boards of management of new businesses are established where appropriate and supported 4.6 Information is provided to the community on a regular basis 4.7 Local cultural requirements are met

Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Business assessment may include:
- market availability
- capital requirements
- risk
- community motivation
- human resources
- cultural appropriateness

Business options may include:
- joint ventures with local government and private operators
- tendering for supply of Aboriginal and Torres Strait Islander and mainstream services

Markets may include:
- local, regional, state/territory consumers
- local and regional Aboriginal and Torres Strait Islander networks

Appropriate business sources may include:
- government business information services
- Aboriginal legal services
- industry associations
- local operators

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Range Statement

Structures may include:

- Board members, staff, community representatives, business and finance advisors, industry advisors
- legal structure
- Board of Management
- core business
- market strategies
- capital requirements
- income/expenditure projections
- staffing
- future directions

Sources of finance may include:

- government
- local government
- private institutions
- sporting bodies
- associations
- sponsors

Evidence Guide

The Evidence Guide identifies the critical aspects, underpinning knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- Integrated demonstration of all elements of competency and their performance criteria, and
- The organisation is assisted to become more business-like and self sufficient

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating theoretical concepts, with substantial depth in some areas.

- Cultural context – Boards are upholders of traditional and cultural values. Relevant aspects of culture may include: cultural protocols, language (both Traditional and Aboriginal English), Aboriginal learning styles, cultural business, family and community responsibilities and local history
- Community control – community participation and control in decision-making are central to organisations and the role of Boards is to support the community in these processes
- Location and resources – organisations operate in diverse locations where cultural, social, economic and political conditions may vary widely. Also, acute resource shortages may also determine the options available

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	• Legal requirements – organisations operate under provisions of federal, state or territory legislation as legal entities and funding recipients which influence decision-making • Business processes • Organisation processes • Business support services
Underpinning Skills	• Written and oral communication • Evaluation and decision-making • Planning • Networking • Negotiation
Resource Implications	This unit of competency should be assessed through the performance of Board duties, but in the event that there is no opportunity to observe such a performance a simulated environment can be used but such simulation must replicate Board conditions in terms of: performing the task; managing a number of different tasks; coping with irregularities and breakdowns in routine; dealing with the responsibilities and expectations of the Board, including working with others; and transferring competency to other situations
Consistency of Performance	Knowledge and performance to be assessed over time to confirm consistency in performance
Context/s of Assessment	This competency should be assessed through the performance of Board duties, or may be assessed through an accurate simulation of Board duties

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Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 3	Level 2	Level 3	Level 3	Level 1	Level 3	Level 1

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – evaluate present activities; evaluate expert advice;
- **Communicating ideas and information** – listen to and inform community; brief experts; document decisions
- **Planning and organising activities** – set targets and time frames; establish Boards of new businesses
- **Working with teams and others** – engage experts; canvass community; establish partnerships
- **Using mathematical ideas and techniques** – to measure and forecast business viability
- **Solving problems** – deal with impediments to achievement of targets and time frames
- **Using technology** – as communication aid; to measure and document

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

BSBATSIM512A Manage Board competencies

Unit Descriptor This unit covers the management of the individual and group competency resources of the Board to ensure it is able to undertake the tasks necessary to operate effectively.

Competency Field Business Management Services

Competency Domain Governance

Key Area Managing the Organisation

Element	Performance Criteria
1. List the competencies needed to manage the organisation	1.1 Copies of relevant competency standards for members of Boards of Management of Aboriginal and Torres Strait Islander organisations are obtained 1.2 The competencies needed to manage the organisation are listed 1.3 Problems that may be caused by a lack of competencies in the Board are identified and listed
2. Assess the present competencies of the Board	2.1 Each Board member is provided with a copy of the competency standards 2.2 Each Board member is asked to say which units of competency they believe they can demonstrate 2.3 Each Board member is assessed for those units using the methods set down in the competency standards 2.4 The demonstrated competencies are recorded for each Board member
3. Identify competencies which are needed but are now not available within the Board	3.1 The competencies which are required to manage the organisation but which are not demonstrated by at least one Board member are listed
4. Identify strategies to deal with competency gaps	4.1 The options for obtaining the required competencies are identified and documented 4.2 All options for accessing the required competencies are evaluated 4.3 The best option(s) to access the necessary competencies is selected

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Element	Performance Criteria
5. Access training to increase individual and Board competencies	5.1 The competencies that are to be obtained through training are listed 5.2 Options for obtaining training are identified and listed for each competency 5.3 The best option(s) for training are selected and training is undertaken
6. Evaluate the effectiveness of managing Board competencies	6.1 The competency management procedures are reviewed and changed if necessary
7. Seek accredited recognition of the competencies of Board members	7.1 A suitable RTO is identified to provide training and/or assessment services 7.2 Links for the provision of training and/or assessment are established 7.3 Assessment procedures are participated in as required by the RTO

Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Competency standards may include:	• Units of Competency in the Governance (Indigenous Organisations) Domain of the Business Services Training Package . • other relevant competency standards
Options for obtaining competencies may include:	• persons inside or outside the community contracted to provide their expertise • selective recruitment to the Board • amendments to the constitution to enable longer terms of office for Board members • staff employed by the Board • volunteer staff • training members of the Board
Options for accessing competencies can be evaluated by:	• cost of contracting or training • need for continuing access to the competency • time taken before the competency will be available

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Range Statement

Options for training may include:

- on-campus training
- correspondence / email / teleconference
- work experience in the community
- training by other Board members

Accredited training and/or assessment may include:

- direct RTO services
- partnership with an RTO
- auspiced relationship with an RTO

Evidence Guide

The Evidence Guide identifies the critical aspects, underpinning knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- Integrated demonstration of all elements of competency and their performance criteria, and
- Adequate competency resources are accessed to enable the Board to do its work

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating theoretical concepts, with substantial depth in some areas.

- Cultural context – Boards are upholders of traditional and cultural values. Relevant aspects of culture may include: cultural protocols, language (both Traditional and Aboriginal English), Aboriginal learning styles, cultural business, family and community responsibilities and local history
- Community control – community participation and control in decision-making are central to organisations and the role of Boards is to support the community in these processes
- Location and resources – organisations operate in diverse locations where cultural, social, economic and political conditions may vary widely. Also, acute resource shortages may also determine the options available
- Legal requirements – organisations operate under provisions of federal, state or territory legislation as legal entities and funding recipients which influence decision-making
- Relevant competency standards
- Organisation processes
- Training options
- Equity and diversity principles

Underpinning Skills

- Oral and written communication
- Ability to work in a team

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Evidence Guide

- Mentoring
- Cross-cultural competence, including gender and disability
- Evaluation and decision-making
- Planning

Resource Implications

This unit of competency should be assessed through the performance of Board duties, but in the event that there is no opportunity to observe such a performance a simulated environment can be used but such simulation must replicate Board conditions in terms of: performing the task; managing a number of different tasks; coping with irregularities and breakdowns in routine; dealing with the responsibilities and expectations of the Board, including working with others; and transferring competency to other situations

Consistency of Performance

Knowledge and performance to be assessed over time to confirm consistency in performance

Context/s of Assessment

This competency should be assessed through the performance of Board duties, or may be assessed through an accurate simulation of Board duties

Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 2	Level 2	Level 2	Level 3	NA	Level 2	Level 1

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – identify relevant competency standards; evaluate training options
- **Communicating ideas and information** – document existing competencies; mentor fellow Board members
- **Planning and organising activities** – audit competencies; training
- **Working with teams and others** – fellow Board members; RTOs; assessors; contractors
- **Using mathematical ideas and techniques** – Not applicable in this unit
- **Solving problems** – remedy identified deficiencies through training/recruitment; amend constitution if required
- **Using technology** – for correspondence/email/teleconferences

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSBATSIM513A Oversee recruitment and induction of staff

Unit Descriptor This unit covers overseeing the recruitment and induction of new staff and the on-going supervision, assessment and support of staff, including voluntary staff.

Competency Field Business Management Services

Competency Domain Governance

Key Area Managing the Organisation

Element	Performance Criteria
1. Plan on-going staffing requirements	1.1 Staffing requirements are reviewed on a regular basis 1.2 Knowledge and skill (or competency) audits are initiated to decide on positions required 1.3 Recruitment policy and procedures are updated regularly 1.4 Additional staffing requirements are included in the business plan
2. Ensure recruitment of staff accords with policy and procedure	2.1 A recruitment committee is established 2.2 A duty statement for the position is reviewed endorsed and documented 2.3 Others are informed of job vacancies 2.4 The organisation's selection procedures are followed 2.5 Candidates are notified of results and given feedback on their applications
3. Ensure new staff are inducted	3.1 A formal contract is developed for new employees 3.2 The Codes of Conduct are explained 3.3 Induction processes are implemented
4. Ensure staff support	4.1 Staff development needs are assessed and recorded 4.2 Funding for staff development is located 4.3 Required staff training is implemented 4.4 Membership of relevant professional bodies is encouraged 4.5 The benefits to other employers of employing local Aboriginal and Torres Strait Islander employees are promoted

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Element	Performance Criteria
5. Ensure staff performance is monitored and assessed regularly	5.1 Duty statements are reviewed 5.2 Reports on staff performance are received and reviewed 5.3 Reports are acted upon 5.4 Feedback is provided to staff
6. Ensure staff departures are overseen	6.1 All contractual obligations and requirements are completed 6.2 Appropriate policies and procedures are adhered to

Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Staff requirements include:	• paid staff • voluntary staff
Recruitment policy and procedures may include:	• Aboriginalisation • family/kinship • volunteer register
A recruitment committee may include:	• Board member(s) • senior staff • independent advisor • ATSIC
Job vacancies may be advised by:	• local notices • Aboriginal and Torres Strait Islander news outlets • mainstream advertising
Results may be advised to candidates by:	• letter • in person by request
Employer contracts may include:	• workplace agreement • award based contract

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Range Statement

Induction processes may include:

- community profile
- organisational structure
- policies and procedures
- job description
- related roles and responsibilities

Training may include:

- career planning
- mentoring
- cross-cultural training

Forms of departure may include:

- retirement
- redeployment
- retrenchment
- dismissal

Evidence Guide

The Evidence Guide identifies the critical aspects, underpinning knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- Integrated demonstration of all elements of competency and their performance criteria, and
- Staff are effectively selected and managed to meet the organisation's needs and ensure staff welfare

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating theoretical concepts, with substantial depth in some areas.

- Cultural context – Boards are upholders of traditional and cultural values. Relevant aspects of culture may include: cultural protocols, language (both Traditional and Aboriginal English), Aboriginal learning styles, cultural business, family and community responsibilities and local history
- Community control – community participation and control in decision-making are central to organisations and the role of Boards is to support the community in these processes
- Location and resources – organisations operate in diverse locations where cultural, social, economic and political conditions may vary widely. Also, acute resource shortages may also determine the options available
- Legal requirements – organisations operate under provisions of federal, state or territory legislation as legal entities and funding recipients which influence decision-making

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Evidence Guide

- Organisation processes
- Equity and diversity principles
- Training options
- Recruitment procedures
- Induction procedures
- Code of Conduct

Underpinning Skills

- Oral and written communication
- Ability to work in a team
- Mentoring
- Cross-cultural competence, including gender and disability
- Evaluation and decision-making
- Negotiation

Resource Implications

This unit of competency should be assessed through the performance of Board duties, but in the event that there is no opportunity to observe such a performance a simulated environment can be used but such simulation must replicate Board conditions in terms of: performing the task; managing a number of different tasks; coping with irregularities and breakdowns in routine; dealing with the responsibilities and expectations of the Board, including working with others; and transferring competency to other situations

Consistency of Performance

Knowledge and performance to be assessed over time to confirm consistency in performance

Context/s of Assessment

This competency should be assessed through the performance of Board duties, or may be assessed through an accurate simulation of Board duties

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Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 2	Level 3	Level 3	Level 3	Level 1	Level 3	Level 1

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – policy and procedures manuals; contracts/agreements; duty statements; performance review results
- **Communicating ideas and information** – advertise vacancies; interview candidates; advise results; provide performance feedback to staff; inform community of employment
- **Planning and organising activities** – schedule advertisements, interviews, reviews
- **Working with teams and others** – recruitment committee, candidates, representative organisations
- **Using mathematical ideas and techniques** – in evaluating training costs
- **Solving problems** – skills shortfalls; staff departures; candidate selection
- **Using technology** – where appropriate as administrative/review tool; in funding proposals

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSBATSIW514A Represent your organisation

Unit Descriptor

This unit covers Board members representing their organisation in a range of situations, including the community, government and private sector organisations and through establishing relevant networks.

Consider co-assessment with BSBATSIL501A Meet the roles and responsibilities of a Board member (2).

Competency Field Business Management Services

Competency Domain Governance

Key Area Working with the Wider Community

Element	Performance Criteria
1. Obtain authorisation and act ethically	1.1 Permission to speak on behalf of the organisation is obtained 1.2 Activities are undertaken within the limits of the Board role 1.3 The Code of Conduct is followed
2. Become informed about organisational policies, current operations and relevant local politics	2.1 The organisation's current policies and operations are described and explained 2.2 Information about external politics that might affect the organisation is obtained
3. Develop and participate in networks	3.1 Individuals, groups and organisations relevant to the work of the organisation are identified and links established 3.2 Networks relevant to the organisation are participated in
4. Receive and provide information relating to the work of the organisation	4.1 Information is provided to others about Board decisions, developments and activities of the organisation 4.2 Information about relevant activities in community and the wider community is received and recorded 4.3 Protocols with respect to the community and wider community are followed
5. Promote the work of the organisation	5.1 The community, other organisations, government and businesses are informed about the work and achievements of the organisation 5.2 Support for the organisation's work is sought

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Element	Performance Criteria
6. Be accountable to the Board	6.1 Appropriate confidentiality about the organisation's information is ensured 6.2 Information is provided to the Board

Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Representatives may include:

- Chairperson
- Chairperson and Board members
- Board members delegated by the Board

Networks may include:

- local and regional organisations
- area focused organisations (health, education, justice, etc)

Relevant organisations may include:

- government departments
  - Aboriginal and Torres Strait Islander organisations
  - local government
- private business
- community based services

Promotion methods may include:

- public meetings
- media (Aboriginal and Torres Strait Islander and mainstream)
- networks
- news releases
- interviews

The Code of Conduct may include:

- honesty, diligence, separating personal and professional issues

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Evidence Guide

The Evidence Guide identifies the critical aspects, underpinning knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- Integrated demonstration of all elements of competency and their performance criteria, and
- The organisation is faithfully represented in the community

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating theoretical concepts, with substantial depth in some areas.

- Cultural context – Boards are upholders of traditional and cultural values. Relevant aspects of culture may include: cultural protocols, language (both Traditional and Aboriginal English), Aboriginal learning styles, cultural business, family and community responsibilities and local history
- Community control – community participation and control in decision-making are central to organisations and the role of Boards is to support the community in these processes
- Location and resources – organisations operate in diverse locations where cultural, social, economic and political conditions may vary widely. Also, acute resource shortages may also determine the options available
- Legal requirements – organisations operate under provisions of federal, state or territory legislation as legal entities and funding recipients which influence decision-making
- Organisation policies and processes
- Equity and diversity principles
- Personal role and responsibilities
- Media outlets

Underpinning Skills

- Oral communication
- Networking

Resource Implications

This unit of competency should be assessed through the performance of Board duties, but in the event that there is no opportunity to observe such a performance a simulated environment can be used but such simulation must replicate Board conditions in terms of: performing the task; managing a number of different tasks; coping with irregularities and breakdowns in routine; dealing with the responsibilities and expectations of the Board, including working with others; and transferring competency to other

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Evidence Guide

	situations
Consistency of Performance	Knowledge and performance to be assessed over time to confirm consistency in performance
Context/s of Assessment	This competency should be assessed through the performance of Board duties, or may be assessed through an accurate simulation of Board duties

Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 2	Level 3	Level 2	Level 2	Level 1	Level 2	Level 1

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – about organisation's policies and operations and external politics affecting the organisation, about limits of Board member's role
- **Communicating ideas and information** – speaking on behalf of the organisation to others about Board decisions, promoting the work of the organisation in the media
- **Planning and organising activities** – to gain permission to speak, in establishing networks
- **Working with teams and others** – individuals, groups and organisations relevant to the work of the organisation, in the community and the wider community
- **Using mathematical ideas and techniques** – to convey quantitative information about organisation's activities
- **Solving problems** – being accountable to the Board and respecting confidentiality
- **Using technology** – including media technology

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSBATSIW515A Secure funding

Unit Descriptor This unit covers the process of locating sources of funds, making applications and lobbying to maximise the organisation's chances of securing funds for its activities.

Competency Field Business Management Services

Competency Domain Governance

Key Area Working with the Wider Community

Element	Performance Criteria
1. Identify and contact funding bodies	1.1 Mainstream and Aboriginal and Torres Strait Islander sources of funding are investigated and listed 1.2 Information is gathered about the potential funding body's priorities, key areas, and expected outcomes 1.3 Funding requirements are clearly explained to potential funding sources
2. Prepare a case for funding	2.1 A team is formed to oversee the funding application 2.2 Staff are delegated tasks if appropriate 2.3 Consultant services are employed to provide technical assistance if necessary 2.4 A proposal is prepared that is related to the funding body's objectives, criteria and application requirements 2.5 All existing financial obligations with respect to the funding body are up to date
3. Promote the case for funding	3.1 The network is used to lobby the funding body 3.2 Key people are advised of progress and the outcome of the application
4. Appeal if necessary	4.1 Relevant appeal authorities and procedures for funding bodies are identified and documented 4.2 The appeal system is used if there is a case

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Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Application requirements may include:

- eligibility criteria
- demonstrable outcomes
- participation of certain groups eg. women, youth
- deadlines

Key people may include:

- Elders
- Committee
- management

Evidence Guide

The Evidence Guide identifies the critical aspects, underpinning knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- Integrated demonstration of all elements of competency and their performance criteria; and
- Appropriate funding sources are accessed to support the organisation's program

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating theoretical concepts, with substantial depth in some areas.

- Cultural context – Boards are upholders of traditional and cultural values. Relevant aspects of culture may include: cultural protocols, language (both Traditional and Aboriginal English), Aboriginal learning styles, cultural business, family and community responsibilities and local history
- Community control – community participation and control in decision-making are central to organisations and the role of Boards is to support the community in these processes
- Location and resources – organisations operate in diverse locations where cultural, social, economic and political conditions may vary widely. Also, acute resource shortages may also determine the options available
- Legal requirements – organisations operate under provisions of federal, state or territory legislation as legal entities and funding recipients which influence decision-making
- Organisation processes

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Evidence Guide

- Funding sources and their requirements
- Appeal systems
- Relevant consultancy services

Underpinning Skills

- Oral and written communication
- Ability to work in a team
- Planning and prioritising
- Evaluation and decision-making
- Networking
- Negotiation and lobbying

Resource Implications

This unit of competency should be assessed through the performance of Board duties, but in the event that there is no opportunity to observe such a performance a simulated environment can be used but such simulation must replicate Board conditions in terms of: performing the task; managing a number of different tasks; coping with irregularities and breakdowns in routine; dealing with the responsibilities and expectations of the Board, including working with others; and transferring competency to other situations

Consistency of Performance

Knowledge and performance to be assessed over time to confirm consistency in performance

Context/s of Assessment

This competency should be assessed through the performance of Board duties, or may be assessed through an accurate simulation of Board duties

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Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 2	Level 3	Level 3	Level 3	Level 1	Level 3	Level 1

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – gathering information about potential funding sources and the source's conditions
- **Communicating ideas and information** – promoting the case for funding, activating networks in support of application
- **Planning and organising activities** – preparing submissions
- **Working with teams and others** – staff delegated to tasks, using consultants for technical advice
- **Using mathematical ideas and techniques** – to calculate funding requirements, ensure existing financial obligations met
- **Solving problems** – meeting criteria, funding bodies' requirements and appeal procedures
- **Using technology** – including communications technology

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSB01 Business Services Training Package

Franchising Competency Standards

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BSBFRA301A Work within a franchise

Unit Descriptor

This unit specifies the outcomes required of an employee working within a franchise to contribute to the successful operation of the business within a framework of compliance requirements.

Competency Field

Business management services

Domain

Franchising

Application of the Competency

This unit covers identifying and confirming own role and responsibilities, identifying and actioning own compliance requirements, assisting others to work within the franchise, and reviewing own contribution to the successful operation of the franchise. It applies to employees within franchisees operating under formal franchising agreements.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Clarify requirements for working within a franchise	1.1 *Role and responsibilities* as an employee within a franchise are determined 1.2 Role and responsibilities are clarified with supervisor, line manager and/or owner, as appropriate 1.3 Own skills are evaluated to determine training needs to meet role and responsibilities within franchise 1.4 Assistance is sought from supervisor/line manager/owner to evaluate training needs and to meet identified needs 1.5 Any *reasonable adjustments* are requested and negotiated
2. Clarify own contribution to meeting compliance requirements	2.1 *Compliance requirements* falling within own role and responsibilities are determined in consultation with supervisor/line manager/owner 2.2 Work plan is determined to include scheduled actions to meet compliance requirements 2.3 Required *audits, checks and associated tasks* are undertaken as per schedule 2.4 *Advice* is sought as required to resolve difficulties arising in performing scheduled tasks

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	2.5 Workplace records involved with meeting compliance requirements are completed accurately and in a timely manner
3. Assist others in meeting assigned roles and responsibilities	3.1 Assistance is offered and provided willingly when requested by others within the franchise to meet their assigned roles and responsibilities
4. Review own contribution to franchise operations	4.1 Feedback is sought from others to confirm that own role and responsibilities are being met
	4.2 Own work is reviewed to ensure that required tasks are being undertaken as per schedules and work plans
	4.3 Any improvements in own work practices and those of others within the franchise are identified and discussed with supervisor/line manager/owner

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Role and responsibilities may:	• be outlined in job description or other documentation or be available orally from manager • include contributing to compliance requirements • include a code of conduct or other set of expectations that contribute to maintaining brand image, homogeneity and identity
Reasonable adjustments are:	• required by legislation and government policy to ensure that all people are treated equally in their employment and training, as far as is reasonably possible
Compliance requirements may include:	• requirements under legislation. including occupational health and safety (OHS), the franchise agreement and local government by-laws
Audits, checks and associated tasks may include:	• cleaning and hygiene schedules • stocktaking and removal of out-of-date stock • product testing

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- quality control

Advice may be sought from:

- line manager and/or supervisor and/or owner
- documentation
- online information
- suppliers' documentation
- MSDSs (material safety data sheets)

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that they have effectively contributed to the successful operation of the franchise within their own role and responsibilities. This includes determining own role in meeting compliance requirements and carrying out this role through checks, audits and associated tasks. The employee will have provided assistance to others to meet their assigned roles and responsibilities, and have reviewed their own contribution to identify improvements to their work and that of others.

Specific Evidence Requirements

Required knowledge and understanding include:

- OHS requirements:
  - specific to nature and type of franchise
  - specific issues such as manual handling, machine guarding and hazardous substances
- other legislation, codes of practice and national standards that apply to own work and in a general way, for example:
  - fire safety regulations
  - codes of practice such as first aid and manual handling
  - Franchising Code of Conduct
- franchise specific obligations as per franchise agreement and as discussed with supervisor/line manager/owner

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- specific vocational skills associated with role in the franchise, for example retail, trade or hospitality

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- communication and negotiation skills
- attributes
  - organised
  - openness to learning
  - communicative
  - cooperative

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (2)	• communicating verbally, including listening and questioning • communicating in writing to complete records and required documentation • participating in OHS consultative process
Collecting, analysing and organising information (1)	• maintaining required records
Planning and organising activities (1)	• planning own work to meet role and responsibilities, including scheduled tasks taking into account need to follow safe work practices
Working in a team (2)	• working with other staff in the franchise • sharing relevant OHS information with other staff
Using mathematical ideas and techniques (1)	• counting and applying numerical skills to auditing and general work routine
Solving problems (1)	• applying problem-solving to problems arising in course of fulfilling own role
Using technology (1)	• using computers and other technology, tools, equipment and personal protective equipment as required within work role
Innovation skills (1)	• suggesting new ways of performing required tasks

Products that could be used as evidence include:

- completed audits and checks
- records made as required
- work plans and schedules
- identified changes to work operations as suggested by own review of work

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Processes that could be used as evidence include:	• how own competence was assessed and training needs determined and met • how learning needs were assessed and learning plan developed • how learning needs were met • how scheduled tasks were determined and executed • how own contributions to work operations were reviewed
Resource implications for assessment include:	• access to business documentation, manager and other personnel in workplace
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment. • evidence of working within a franchise in either an actual workplace situation or in a simulated workplace
Integrated competency assessment means:	• that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant units in business, including common business units at Certificate III

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BSBFRA401A Manage compliance with franchisee obligations and legislative requirements

Unit Descriptor

This unit specifies the outcomes required for franchisees to comply with obligations set out in the franchising agreement and with relevant legislative requirements specific to the type of franchise.

Competency Field

Business management services

Domain

Franchising

Application of the Competency

This unit applies to franchisees operating under formal franchising agreements. It covers determining franchisee obligations and legislative requirements, developing strategies for compliance with relevant legislation and obligations, undertaking regular compliance checks, and acting on instances of non-compliance with requirements and obligations.

Obligations do not include those detailed in the franchising agreement to cover payment of fees and charges by the franchisee to the franchisor. These outcomes are included in BSBFRA403A Manage relationship with franchisor.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Determine franchisee obligations and legislative requirements	1.1 *Obligations under franchising agreement* are identified 1.2 Relevant *legislative requirements* are identified 1.3 Codes of practice and material that interprets and explains obligations and legislative requirements are accessed 1.4 Obligations and legislative requirements are clarified with franchisor and relevant *government* and licensing agencies
2. Develop strategies for compliance with franchisee obligations and legislative requirements	2.1 Available information on obligations and legislative requirements is analysed to develop *strategies* for compliance 2.2 Strategies are checked with franchisor to determine suitability to operate franchise within obligations and legislative requirements 2.3 Strategies are used to develop regular, cyclical *compliance checks* 2.4 *Training* to facilitate compliance requirements is completed

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3. Undertake scheduled compliance checks	3.1 Compliance requirements are communicated to staff 3.2 Compliance checks are delegated to relevant staff and training and support provided for staff to carry out checks 3.3 Timing and outcomes of compliance checks are recorded according to organisational requirements 3.4 Instances of non-compliance are identified from compliance checks
4. Act on identified instances of non-compliance with franchisee obligations and legislative requirements	4.1 Courses of action to address instances of non-compliance are determined 4.2 Assistance of franchisor or other relevant parties is sought to address non-compliance 4.3 Action is taken to address non-compliance 4.4 Checks are made to ensure non-compliance has been addressed 4.5 Compliance in a specific area is monitored to ensure continued compliance 4.6 Reasons for non-compliance are analysed to guide future compliance

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Obligations under franchising agreement may refer to:	• reporting of income, sales or turnover • quality assurance requirements • fees and pricing structures • stock control and inventory requirements and reporting of this information • merchandising requirements • fees paid to franchisor • financial controls • limits on trading of other products and services that are outside franchise operations

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	• area of operations or limits to region or territory • franchise corporate image requirements and branding
Legislative requirements may include:	• occupational health and safety (OHS) requirements • fire regulations • relevant permits, licences and completion of training programs such as in safe food handling • Australian Taxation Office requirements, including requirements to register as a business and obtain an ABN • local government planning and land use zoning regulations • requirements under employment legislation • Dangerous Goods Act requirements • Liquor Licensing Act requirements • food safety requirements • other legislative requirements specific to the nature and type of franchise
Government refers to:	• commonwealth, state/territory and local government
Strategies will be:	• broad statements of requirements for compliance • used to develop specific work procedures and compliance checks
Compliance checks may be:	• continuous, daily, weekly, monthly as required to ensure compliance • undertaken by franchisee or staff delegated with specific tasks • logged in specific logbook or checked against checklists and filed as required
Training may include that*:*	• specified in the initial franchise agreement • scheduled on a cyclical basis (such as yearly refresher courses and product knowledge workshops) • required by legislation such as first aid, OHS, food handling

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that strategies and processes are in place within the franchise to ensure that compliance with franchisee obligations and legislative requirements is monitored and managed over a period of time to minimise or eliminate instances of non-compliance.

Where the franchisee employs staff, including family members, strategies and processes will be in place to ensure that compliance is monitored and managed for actions taken by employees. Compliance checks might be delegated to employees with responsibility being taken for compliance by franchisee.

Specific Evidence Requirements

Required knowledge and understanding include:

- OHS requirements:
  - specific to nature and type of franchise
  - generic to all workplaces
  - specific issues such as manual handling, machine guarding, hazardous substances
- other legislation, codes of practice and national standards, for example:
  - range of legislation covering areas such as fire safety, employment of staff and anti-discrimination, and dangerous goods, liquor licensing and food safety as appropriate
  - Franchising Code of Conduct
- franchise specific obligations
  - as per franchise agreement
  - as per updates and amendments to agreement over time
- auditing requirements
- penalties for non-compliance and context for franchisee obligations and legislative requirements

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- leadership (where other staff are employed in franchise)
- communication and negotiation skills
- problem-solving skills
- auditing skills
- OHS skills
- attributes
  - attention to detail
  - thoroughness

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Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (2)	• communicating verbally, including negotiating and consulting and conveying health and safety information • communicating in writing to document strategies, compliance checks and outcomes of these checks
Collecting, analysing and organising information (2)	• researching and determining compliance requirements, and strategies to address these
Planning and organising activities (2)	• planning and organising cyclical compliance checks
Working in a team (2)	• working with staff • working with franchisor and personnel from regulatory agencies
Using mathematical ideas and techniques (–)	• not applicable
Solving problems (2)	• applying problem-solving to determine action to address instances of non-compliance
Using technology (–)	• not applicable
Innovation skills (–)	• not applicable

Products that could be used as evidence include:

- documented strategies for compliance
- audits undertaken
- completed training certificates
- compliance check schedule and examples of checks made
- documented actions to address instances of non-compliance
- documented schedule of training and support provided to staff assisting with compliance

Processes that could be used as evidence include:	• how compliance requirements were determined • how strategies for compliance were developed • how compliance checks were determined • how other staff were supported to assist with compliance • how instances of non-compliance were addressed • how instances of non-compliance were prevented from recurring and lessons learned from addressing instances of non-compliance
Resource implications for assessment include:	• access to workplace documentation
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment. • evidence of a schedule of checks being undertaken associated with a broad statement of strategies to ensure compliance in either an actual workplace situation or in a simulated workplace
Integrated competency assessment means:	• that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant units in small business management and franchising including: – BSBFRA402A Establish a franchise – BSBFRA403A Manage relationship with franchisor – BSBFRA404A Manage a multiple site franchise

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BSBFRA402A Establish a franchise

Unit Descriptor

This unit specifies the outcomes required of a franchisee to establish a franchise from the initial research phase through to finalising a franchising agreement with the franchisor and opening the franchise for business.

Competency Field

Business management services

Domain

Franchising

Application of the Competency

This unit addresses the establishment of a franchise including the initial research to identify franchising opportunities and franchising requirements, completing a business plan, assessing own suitability to manage a franchise and implementing a learning plan, finalising agreements, and preparing to open the franchise including obtaining a premises.

This unit applies to franchisees operating under formal franchising agreements.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Identify opportunities for establishing a franchise	1.1 Franchising opportunities are researched and identified 1.2 Own interests and skills are determined to assess suitability for opportunities identified 1.3 *Requirements* for establishing a specific franchise are determined 1.4 Viability and business record of franchisor in prospective franchise is researched and checked 1.5 *Negotiations* are entered into with a franchisor to establish a franchise
2. Complete business plan	2.1 Business plan proforma is accessed, as appropriate 2.2 Franchisor and *others* are consulted in process of developing business planning documents 2.3 *Financing options* are researched and determined 2.4 Financial planning for franchise is completed 2.5 Market analysis is undertaken for franchise opportunity and marketing plan completed 2.6 Needs for premises are determined and researched in appropriate area 2.7 Business plan is completed

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3. Identify and address learning needs	3.1 Required skills and knowledge to manage a franchise are determined, and gaps for self and others are identified
	3.2 Assistance is sought to assess and address learning needs and these are documented in the form of a learning plan
	3.3 Training required by franchisor of a franchisee is determined
	3.4 Learning plan and required training programs are undertaken
4. Finalise agreements	4.1 Finance agreements are completed
	4.2 Legal advice is accessed as required
	4.3 Franchising agreement is finalised and signed off
	4.4 Required *permits* are obtained for franchise operation
	4.5 *Contracts and agreements* with *third parties* are finalised
5. Prepare for opening of franchise	5.1 Physical and human resources required to manage franchise are obtained
	5.2 Marketing activities associated with opening of the franchise are undertaken
	5.3 The franchise is opened for business

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Requirements for establishing a franchise may include:	• availability of finance • own skills and knowledge • availability of franchise opportunity • franchisor specific requirements
Negotiations may cover:	• franchisor requirements and expectations • site selection for franchise

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	• reasonable adjustments to workplace, equipment or processes to facilitate operation of the franchise • financing options • fee structure for franchise operation • franchisee obligations
Others providing assistance may include:	• legal advisor • accountant • franchisor staff • own network • personal research • other franchisees already operating franchises • family members
Financing options may include:	• loan from financial institution • arrangements with franchisor or third party interest • mortgage of existing property or sale of assets • loan from family members
Permits may include those associated with:	• specific business operations such as liquor licence • local government permits • fire safety and occupational health and safety (OHS) • dangerous goods • other commonwealth, state/territory legislation
Contracts and agreements may cover:	• lease or purchase of premises • motor vehicles • IT and office equipment • industry specific tools, plant and equipment
Third parties may include:	• silent partners or commercial backers • property owner of site separate to franchisor

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that processes to establish a franchise have been undertaken to successfully open the business. Evidence will demonstrate that own suitability for the franchise has been determined, business planning has been completed, learning needs have been determined and a plan for meeting these needs implemented, agreements have been finalised and preparations completed to open the business.

Specific Evidence Requirements

Required knowledge and understanding include:

- OHS requirements:
  - specific to nature and type of franchise
  - generic to all workplaces
  - specific to own safety such as manual handling
- legislation, codes of practice and national standards, for example
  - Franchising Code of Conduct
  - range of legislation covering areas such as fire safety, OHS, employment of staff, company law, anti-discrimination and fair trading
  - required permits (under commonwealth, state/territory and local government regulations and legislation)
- franchise specific obligations as per franchise agreement
- business planning
- financing options

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- research and analysis skills
- planning skills
- problem-solving skills
- attributes
  - organised
  - open to learning
  - realistic

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Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (2)	• communicating verbally including negotiating and consulting • communicating in writing to complete documentation
Collecting, analysing and organising information (2)	• planning for market research, and business planning
Planning and organising activities (2)	• planning for meeting learning needs and opening a business
Working in a team (2)	• working with franchisor staff, own family members, legal advisers, accountants and other specialists
Using mathematical ideas and techniques (2)	• using numerical calculation skills to undertake financial planning
Solving problems (2)	• applying problem-solving to problems arising during establishment of franchise
Using technology (–)	• not applicable
Innovation skills (2)	• establishing new business opportunity

Products that could be used as evidence include:

- documented business plan
- learning plan and records of learning undertaken
- franchise agreement and other contracts related to opening a franchise
- correspondence documented during preparations for opening the business
- notes made in preparing the business plan, researching franchising opportunities and preparing for opening the franchise

Processes that could be used as evidence include:

- how franchising opportunities were researched and opportunity selected from research
- how business plan was researched and completed
- how learning needs were assessed and learning plan developed

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- how learning needs were met
- how agreements were checked and finalised
- how business was prepared for opening

Resource implications for assessment include:

- access to business documentation

Validity and sufficiency of evidence requires:

- that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment
- evidence of preparing to open a franchise in either an actual workplace situation or in a simulated workplace

Integrated competency assessment means:

- that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant units in small business management and franchising including:
  - BSBFRA401A Manage compliance with franchisee obligations and legislative requirements
  - BSBFRA403A Manage relationship with franchisor
  - BSBFRA404A Manage a multiple site franchise

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BSBFRA403A Manage relationship with franchisor

Unit Descriptor

This unit specifies the outcomes required to manage the business relationship with the franchisor and self as the franchisee.

Competency Field

Business management services

Domain

Franchising

Application of the Competency

This unit addresses the management of the relationship between the franchisor and self as the franchisee including establishing the relationship with the franchisor or their representative(s), determining and accessing services available through the franchisor, implementing strategies for meeting financial obligations to the franchisor, and resolving disputes with the franchisor.

This unit applies to franchisees operating under formal franchising agreements.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Establish relationship with franchisor	1.1 *The franchisor's representative(s) or liaison person(s)* are identified
	1.2 *Communication channels* with the franchisor's representative(s) or liaison person(s) are identified
	1.3 *Schedule of contact* with the franchisor's representative(s) or liaison person(s) is established
	1.4 Initial meeting with the franchisor's representative(s) or liaison person(s) is held to initiate ongoing relationship
	1.5 Participation occurs in the franchisee advisory council meetings and relevant activities
2. Determine services available from franchisor	2.1 *Services available through the franchisor* are determined through consultation with the franchisor's representative(s) or liaison person(s)
	2.2 Schedule for accessing services of the franchisor is established
	2.3 Services available through the franchisor are accessed according to schedule and as needs arise in course of business operations
	2.4 Currency of information relating to services available through the franchisor is maintained

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3. Implement strategies for meeting franchisor financial obligations	3.1 *Franchisee financial obligations* to the franchisor are identified 3.2 Strategies and procedures are developed and implemented to meet franchisee financial obligations
4. Plan for ongoing management of franchise	4.1 Planning is undertaken to facilitate *ongoing management of franchise*
5. Resolve disputes with franchisor	5.1 Disputes with the franchisor are identified and negotiations entered into with the franchisor's representative(s) or liaison person(s) and in line with *complaints handling procedure* 5.2 Assistance of third parties or mediators is sought to facilitate resolution of disputes arising with the franchisor and in line with complaints handling procedure 5.3 Disputes are resolved and courses of action agreed to and documented 5.4 Agreed courses of action to resolve disputes are implemented 5.5 Lessons learned from dispute are used to guide future business operations and facilitate positive relationships with the franchisor

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Franchisor's representative(s) or liaison person(s) refers to:	• franchisor's appointed representative • specialist personnel within franchisor organisation including financial advisers, training personnel and marketing advisers
Communication channels may include:	• mobile and office based telephone numbers • meeting schedules • email address • workshops for franchisees

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	• pager number • other emergency contact channels
Schedule of contact refers to:	• regular meetings • visits by representative(s) • occasional visits • training schedules and franchisee network meetings
Services available through the franchisor may include:	• purchasing of stock • marketing and promotional activities • financial advise • product updates • market intelligence • IT support • equipment repair and replacement • training programs
Franchisee financial obligations refers to:	• payments required to be made by franchisee to franchisor on a regular basis and related to turnover, income or fixed price basis
Ongoing management of franchise may include:	• planning for life of agreement and planning for extinction of agreement
Complaint handling procedure:	• is specified in the Franchising Code of Conduct

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that processes have been implemented to manage the relationship between franchisor and self as franchisee over a period of time. Evidence will demonstrate that potential disputes are identified and actions taken to prevent these eventuating and, if disputes arise, resolution is sought and reached to ensure continuity of operations. Strategies to manage the relationship will focus on planning to meet financial obligations to the franchisor and using the services available through the franchisor to facilitate efficient and effective management of business operations.

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Specific Evidence Requirements

Required knowledge and understanding include:

- occupational health and safety (OHS) requirements:
  - specific to nature and type of franchise
  - generic to all workplaces
  - specific to own safety such as manual handling
- legislation, codes of practice and national standards, for example:
  - Franchising Code of Conduct
  - range of legislation covering fire safety, OHS, employment of staff, company law, anti-discrimination and fair trading
  - required permits (under commonwealth, state/territory and local government regulations and legislation)
- franchise specific obligations as per franchise agreement, specifically financial obligations

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- business management skills
- communication skills
- problem-solving skills
- negotiation and dispute resolution skills
- attributes
  - assertive
  - communicative

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (3)	• communicating verbally, including negotiating and resolving disputes
Collecting, analysing and organising information (1)	• maintaining currency of information on services available through franchisor
Planning and organising	• planning for schedule of contact with franchisor representative(s) and access to franchisor services

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activities (1)	• developing strategies and procedures to meet financial obligations
Working in a team (2)	• working with franchisor staff • working with employees and family members working in business • working with legal advisers, accountants and other specialists
Using mathematical ideas and techniques (–)	• not applicable
Solving problems (3)	• applying problem-solving to problems and disputes arising in course of business operations and with relationship with franchisor
Using technology (–)	• not applicable
Innovation skills (–)	• not applicable
Products that could be used as evidence include:	• schedules for contact with franchisor representative(s) • records of services accessed through franchisor • documented file of information on services available through franchisor • correspondence documenting agreements reached in event of disputes arising in course of business operations • general correspondence with franchisor representative(s)
Processes that could be used as evidence include:	• how relationship with franchisor was initiated following establishment of franchise • how relationship with franchisor has been maintained • how relationship with franchisor has been managed to ensure effective and efficient business operations • how potential disputes were identified and actions taken to prevent these from eventuating • how disputes with franchisor have been used to guide future business operations and facilitate positive relationships with franchisor
Resource implications for assessment include:	• access to business documentation • access to feedback from franchisor
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment.

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- evidence of managing the relationship with the franchisor over a period of time to facilitate business operations in either an actual workplace situation or in a simulated workplace

Integrated competency assessment means:

- that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant units in small business management and franchising including:
  - BSBFRA401A Manage compliance with franchisee obligations and legislative requirements
  - BSBFRA402A Establish a franchise
  - BSBFRA404A Manage a multiple site franchise

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BSBFRA404A Manage a multiple site franchise

Unit Descriptor

This unit specifies the outcomes required of a franchisee to manage a multiple site franchise.

Competency Field

Business management services

Domain

Franchising

Application of the Competency

This unit covers undertaking planning for the management of a multiple site franchise, appointing staff, implementing and monitoring the management plan, and reviewing the management of the multiple site franchise.

This unit applies to franchisees operating under formal franchising agreements over multiple sites.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Plan for managing multiple site franchise	1.1 Strategies for managing *multiple site franchise* operations are determined in consultation with the franchisor and within the franchisor's multiple site policy
	1.2 Policies and procedures are documented to support strategies for managing a multiple site franchise
	1.3 *Physical resources* to manage a multiple site franchise are determined and obtained
	1.4 *Practices* to manage a multiple site franchise are determined and documented
	1.5 Duplicate management systems are designed for each site of operation under a multiple site operation
2. Appoint staff for multiple site franchise	2.1 Staff are selected and recruited for a multiple site franchise
	2.2 Responsibilities and roles of supervisor or manager of site are determined and communicated to all *relevant parties*
	2.3 Learning needs of supervisors or managers are determined, documented as an action plan and implemented
3. Implement plan for managing multiple site franchise	3.1 Policies, procedures and practices to manage a multiple site franchise are communicated to and clarified with supervisors or managers
	3.2 A monitoring plan for management of a multiple site franchise is developed

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	3.3 Tasks are delegated to supervisors or managers and followed up to ensure completion
	3.4 Networks are developed with other franchisees and multiple site operators to inform best practice for multiple site operation
	3.5 Review process for evaluating effectiveness and efficiency of management of a multiple site franchise is developed
	3.6 *Schedule of activities* designed to manage a multiple site franchise is implemented
4. Monitor multiple site franchise	4.1 Monitoring plan for managing a multiple site franchise is implemented
	4.2 Feedback from franchisor is sought on effectiveness and efficiency of management of a multiple site franchise
	4.3 Required *interventions* identified from monitoring process are acted upon
	4.4 Feedback is provided to managers or supervisors to guide efficient and effective management of franchise sites
	4.5 Ongoing training needs for managers or supervisors are identified and required training facilitated
5. Review management of multiple site franchise	5.1 Review process for evaluating effectiveness and efficiency of management of a multiple site franchise is implemented
	5.2 Feedback and information to inform review process is sought from franchisor
	5.3 Improvements in management of sites are identified from review process
	5.4 Identified improvements are communicated to managers or supervisors and implemented
	5.5 Effectiveness of improvements is monitored

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

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Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Multiple site franchise refers to:	• an agreement between a franchisor and a franchisee for the operation of the franchise across more than one site or region
Physical resources may include:	• access to email • phone, fax and other electronic communication equipment • courier systems • other physical resources that facilitate communication between sites and central operations unit
Practices may include:	• using electronic bulletin boards and other means of communication for reporting purposes • meeting schedules • programmed visits • workshops, product knowledge seminars, conferences and professional development programs • regular reporting via paper based format
Relevant parties may include:	• franchisor representatives • managers or supervisors • employed staff
Scheduled activities may relate to regular and cyclical reporting of:	• turnover, income or expenses and other financial information • stock levels and inventory control • human resource information • problems arising during course of business operations • quality assurance issues, and test sampling and results • business activity • training activity
Interventions may include:	• training • information provided • temporary assistance

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- discipline of managers or supervisors
- seeking support from franchisor and accessing services available through franchisor
- increased physical and human resources

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that a multiple site franchise operation has been successfully managed over a period of time to maximise efficiency and effectiveness of business operations over all sites. Evidence will demonstrate that the strategy developed for managing the sites has been implemented and reviewed to identify ways to improve the management of the sites.

Specific Evidence Requirements

Required knowledge and understanding include:

- occupational health and safety (OHS) requirements::
  - specific to nature and type of franchise
  - generic to all workplaces
  - specific to own safety such as manual handling
- legislation, codes of practice and national standards, for example
  - Franchising Code of Conduct
  - range of legislation covering areas such as fire safety, OHS, employment of staff, company law, anti-discrimination and fair trading
  - required permits (under commonwealth, state/territory and local government regulations and legislation)
- franchise specific obligations as per franchise agreement

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- business management skills
- communication skills
- problem solving skills
- leadership skills
- planning skills
- attributes

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– good leadership
– communicative

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (2)	• communicating verbally including negotiating and resolving disputes • communicating in writing including documenting strategy and developing policy, procedures and practices
Collecting, analysing and organising information (3)	• gathering and analysing information on business operations at each site to monitor operations and review management strategies
Planning and organising activities (3)	• planning for effective management of multiple sites
Working in a team (2)	• working with franchisor staff • working with managers or supervisors • working with staff at each site
Using mathematical ideas and techniques (–)	• not applicable
Solving problems (3)	• applying problem-solving to problems and disputes arising in course of business operations and in relationship with franchisor
Using technology (2)	• using communication electronic devices • using software packages to manage information and produce documentation
Innovation skills (–)	• not applicable

Products that could be used as evidence include:

- documented strategy for managing sites including associated policies, procedures and practices
- records of correspondence with managers or supervisors
- documented file of information on services available through franchisor
- documented monitoring plan and review process

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- training plans for managers or supervisors
- identified improvements from review process

Processes that could be used as evidence include:

- how strategies for managing a multiple site franchise were developed
- how managers or supervisors were trained and supported in role to manage individual sites
- how management of sites was monitored
- how management of sites was reviewed
- how identified improvements were implemented across sites

Resource implications for assessment include:

- access to business documentation
- access to feedback from franchisor and managers or supervisors

Validity and sufficiency of evidence requires:

- that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment.
- evidence of managing the operations of a multiple site franchise over a period of time to facilitate business operations in either an actual workplace situation or in a simulated workplace

Integrated competency assessment means:

- that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant units in small business management, franchising or frontline management including:
  - BSBFRA401A Manage compliance with franchisee obligations and legislative requirements
  - BSBFRA402A Establish a franchise
  - BSBFRA403A Manage relationship with franchisor

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BSBFRA501A Establish a franchise operation

Unit Descriptor

This unit specifies the outcomes required for franchisors to establish a franchising operation from an existing business, chain of businesses or from a planned concept.

Competency Field

Business management services

Domain

Franchising

Application of the Competency

This unit covers researching the feasibility of establishing a franchise operation, planning the setting up of the franchise operation, implementing the plan and reviewing operations once commenced.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Research feasibility of establishing a franchise operation	1.1 Research into franchising models is undertaken 1.2 Existing business or planned concept is analysed to determine opportunity for expansion into franchise operation 1.3 Market research on product or service is undertaken 1.4 Financial feasibility of proposed franchise operation is undertaken 1.5 Assistance with feasibility study of *specialist and relevant parties* is sought as required 1.6 Business plan for franchise operation is completed 1.7 Marketing plan for franchise operation is completed
2. Plan for establishment of a franchise operation	2.1 Financial backing for franchise operation is secured 2.2 Franchise concept is defined in terms of *roles and responsibilities of franchisor and franchisees* 2.3 Advice is sought from specialist and relevant parties to complete documentation of franchising concept 2.4 Procedures to guide franchisees' and franchisor's operations are developed and documented 2.5 *Human and physical resources* required to commence franchise operation are determined 2.6 Recruitment strategies for potential franchises are developed, agreed to and implemented

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3. Implement plan for establishment of a franchise operation	3.1 Marketing of franchise operation is undertaken 3.2 *Franchisees to commence franchise operation* are identified and agreements formalised 3.3 Assist franchisees in developing a businesses and marketing plan 3.4 Physical and human resources to implement franchise operation are obtained 3.5 *Operational unit* to support and coordinate franchise operation is established 3.6 Monitoring process for managing franchise operation is developed and implemented
4. Review implementation process	4.1 Review process for implementation of franchise operation is developed and implemented 4.2 Improvements in franchising operation and associated management process are identified 4.3 Identified improvements are implemented and monitored for effectiveness

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the performance criteria.

Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Specialists and relevant parties may include:	• Franchise Council of Australia • chambers of commerce • accountants, legal representatives, financial planners and financial institution representatives, business planning specialists, marketing specialists and franchising consultants
Roles and responsibilities of franchisor and franchisees may include:	• agreement between franchisor and franchisees • conditions for franchises • services provided to franchises
Human and physical resources may include:	• software and hardware • office premises • communications equipment

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	• specialist services through outsourcing, contracting and consultancy • staff • vehicles
Franchisees to commence franchise operation may include:	• existing businesses, chain of outlets or interested parties including a trial sample of franchises
Operational unit refers to:	• office location staffed with required personnel and equipped to service and support franchisees • home-based site or other location such as leased or owned property

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that a franchising operation has been planned and implemented from initial research into feasibility of the franchise operation and completion of a business plan, through to implementing the plan and commencing operations with a number of franchisees under an agreement which specifies roles and responsibilities of both parties. Active support will have been provided to franchisees to facilitate their commencement under the terms and conditions of the agreement.

Specific Evidence Requirements

Required knowledge and understanding include:	• occupational health and safety (OHS) requirements specific to the nature and type of franchising operations • legislation, codes of practice and national standards, for example: – range of legislation specific to nature and type of franchising operations – company law, fair trading and anti-discrimination – Franchising Code of Conduct • financing options • franchising operations
Required skills and attributes include:	• ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities • marketing skills • business planning skills • entrepreneurial skills

- problem-solving skills
- OHS skills
- belief in services and products being franchised

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (3)	• communicating verbally including negotiating and consulting • communicating in writing to complete documentation
Collecting, analysing and organising information (3)	• researching and analysing franchising models • market research
Planning and organising activities (3)	• planning and organising for commencement of operations and franchisees' commencement
Working in a team (3)	• working with franchisees • working with colleagues and staff in operational unit
Using mathematical ideas and techniques (2)	• using numerical calculation skills in financial planning
Solving problems (2)	• applying problem-solving to problems arising in commencement of operations and new franchises
Using technology (1)	• using electronic calculation aids • using word processing and associated software to document plan and proposed operations, and for monitoring and review purposes
Innovation skills (3)	• initiating a franchise operation into the market

Products that could be used as evidence include:

- feasibility study, completed business plan, completed marketing plan
- notes made in preparing feasibility study, business plan and marketing plan
- correspondence with specialists and other parties in relation to planned franchise operation
- action plans for implementing a franchise operation
- documented monitoring and review processes

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	• identified improvements to mode of operation as a result of review process • marketing materials to promote franchise operation
Processes that could be used as evidence include:	• how feasibility study was undertaken • how business plan was developed • how marketing plan was developed • how financial backing was obtained for franchise operation • how required physical and human resources for operational unit were determined • how agreements were drafted and finalised • how initial franchisees were identified and selected • how franchise operation has been monitored and reviewed
Resource implications for assessment include:	• access to workplace documentation
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment. • evidence of a planned approach to the establishment of a franchise operation to the point where franchisees have commenced operations in either an actual workplace situation or in a simulated workplace
Integrated competency assessment means:	• that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant units in strategic management, and franchising including: – BSBFRA502A Manage a franchise operation – BSBFRA503A Manage establishment of new sites or regions – BSBFRA504A Manage relationships with franchisees – BSBFRA505A Manage closure of a franchise

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BSBFRA502A Manage a franchise operation

Unit Descriptor

This unit specifies the outcomes required for franchisors to manage a franchise operation.

Competency Field

Business management services

Domain

Franchising

Application of the Competency

This unit applies to franchisors managing an existing franchise operation to support franchisees and meet franchisor obligations under the franchising agreement entered into with franchisees.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Establish procedures for managing a franchise operation	1.1 Obligations of both parties under franchising agreement are determined 1.2 Procedures for ensuring compliance with *franchising obligations* and *legislative requirements* are developed 1.3 *Reporting requirements* for franchisees are developed and communicated to franchises
2. Implement procedures for managing a franchise operation	2.1 Procedures for ensuring compliance with franchising obligations and legislative requirements are implemented with franchises 2.2 Instances of non-compliance are identified and acted upon in conjunction with franchises 2.3 Reports from franchises are monitored for completeness, accuracy and timeliness of submission 2.4 Potential disputes with franchises are identified and actions taken to resolve potential disputes before they eventuate 2.5 Disputes that eventuate and reach an agreed settlement are resolved within established *procedures*
3. Review a franchise operation	3.1 Monitoring of franchises is used to inform review process for franchise operation 3.2 Improvements in franchise operation and management of franchises are identified from monitoring of franchises' business operations 3.3 Recommendations are made to improve the effectiveness of the franchise operation and individual franchises

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Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Franchising obligations may refer to:	• reporting of income, sales and turnover • quality assurance requirements • fees and pricing structures • stock control and inventory requirements, and reporting of this information • merchandising requirements • franchise corporate image requirements and branding
Legislative requirements may include:	• occupational health and safety (OHS) requirements • fire regulations • relevant permits, licences and completion of training programs such as in safe food handling • Australian Taxation Office requirements, including requirements to register as a business and obtain an ABN • local government planning and land use zoning regulations • requirements under employment legislation • Dangerous Goods Act requirements • Liquor Licensing Act requirements • food safety requirements • other legislative requirements specific to the nature and type of franchise
Reporting requirements may relate to:	• income, expenditure and other financial reports • stock levels and inventory control • customer numbers and turnover • accident and incident reporting and recording

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Procedures for dispute resolution are:	• documented as part of the requirements of the Franchising Code of Conduct

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence of efficient and effective management of franchises under own area of responsibility. Management role and responsibilities will be detailed in the franchising agreement and organisational documentation and include ensuring compliance with franchisee obligations and legislative requirements.

Specific Evidence Requirements

Required knowledge and understanding include:	• legislation, codes of practice and national standards relating to OHS, company law, fair trading, anti-discrimination and other areas specific to the franchise operation • Franchising Code of Conduct • franchise specific obligations: – as per franchise agreement – as per updates and amendments to the agreement over time
Required skills and attributes include:	• ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities • management skills • OHS skills • communication skills including negotiation skills • problem-solving skills • monitoring and review skills • attributes – attention to detail – thoroughness

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Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (3)	• communicating verbally including negotiating and consulting • communicating in writing to complete required documentation
Collecting, analysing and organising information (3)	• analysis associated with review of operations
Planning and organising activities (3)	• planning and organising management of franchises
Working in a team (2)	• working with staff • working with franchisees
Using mathematical ideas and techniques (–)	• not applicable
Solving problems (2)	• applying problem-solving to issues arising in operation of franchises
Using technology (1)	• using word processing software and specific software packages
Innovation skills (–)	• not applicable

Products that could be used as evidence include:

- documented actions taken to ensure compliance of franchises and address instances of non-compliance
- documented resolutions of disputes between franchisees and franchisor
- correspondence and records of communications and visits to support franchises
- records made in monitoring franchises
- identified improvements in franchise operations

Processes that could be used as evidence include:

- how compliance has been monitored and issues of non-compliance addressed
- how disputes with franchisees were resolved

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- how franchises were supported
- how franchises were monitored
- how franchise operations have been reviewed

Resource implications for assessment include:

- access to workplace documentation

Validity and sufficiency of evidence requires:

- that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment
- evidence of a managing a franchise operation over a period of time to support franchises in either an actual workplace situation or in a simulated workplace

Integrated competency assessment means:

- that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant units in franchising and strategic management and including:
  - BSBFRA501A Establish a franchise operation
  - BSBFRA503A Manage establishment of new sites or regions
  - BSBFRA504A Manage relationship with franchisees
  - BSBFRA505A Manage closure of a franchise

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BSBFRA503A Manage establishment of new sites or regions

Unit Descriptor

This unit specifies the outcomes required for franchisors to manage the establishment of new sites or regions within an existing franchise operation and select new operators for existing franchises.

Competency Field

Business management services

Domain

Franchising

Application of the Competency

This unit covers identifying opportunities for new sites or regions, selecting new sites or regions, assisting potential franchisees with establishing new sites or regions, formalising agreements with new franchisees, and assisting franchisees in commencing operations in the new sites or regions.

The unit also applies to the selection of new franchisees for existing sites or regions where a new operator is required to take over the franchise.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Identify opportunities for new franchise sites or regions	1.1 Franchise organisation's *strategic plan* for expansion of franchise operation is accessed to determine opportunities for new sites or regions 1.2 Analysis is made from closures of existing sites or regions and other *industry data* to identify opportunities for new sites or regions 1.3 Market research is undertaken to identify opportunities for new sites or regions 1.4 Agreement on new sites and regions is obtained from senior management as relevant 1.5 Opportunities for new sites or regions are confirmed and documented within franchisor's policies
2. Select new franchisees	2.1 *Applicants for new sites or regions* are supplied with *requirements for establishing a franchise* 2.2 Each applicant's suitability and ability to meet franchisor's requirements is checked in consultation with applicants and franchise operation's management 2.3 Each *applicant's business planning documents* are evaluated for suitability

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3. Assist potential franchisee with establishing new franchise	3.1 Potential franchisees are assisted with completion of business and marketing plans
	3.2 Issues raised in relation to operation of the franchise are clarified with potential franchisees
	3.3 Potential franchisees are assisted with obtaining required *permits*, site selection and financing options
	3.4 Marketing or other cooperative funds, intellectual property rights and rights to client database are communicated to and clarified with potential franchisees
	3.5 *Physical and human resources* required for commencement of franchise are determined in conjunction with potential franchisee
4. Formalise agreement with new franchisee	4.1 Checks are made of franchisee's satisfactory meeting of all *requirements for entering into franchise agreement*
	4.2 Agreement with new franchisee is completed and necessary signatures obtained
	4.3 Date for commencement of franchise is determined
5. Assist franchisee in opening new franchise	5.1 Franchisee is assisted with obtaining required physical and human resources to commence operations
	5.2 Franchisee is assisted with obtaining required stock/raw materials/consumables to commence operations
	5.3 Responsibilities of franchisor as per franchise agreement are determined and implemented
	5.4 Assistance is provided to franchisee to determine and implement strategies and processes to meet *franchisee's obligations* and *legislative requirements* as per franchise agreement and to manage the franchise
	5.5 Ability to commence franchise operations on due date is monitored in conjunction with franchisee
	5.6 *Training* needs of franchisee are determined and required training facilitated
	5.7 Problems arising in setting up franchise to commence business operations are resolved in conjunction with franchisee
	5.8 Operations of new site or region are commenced within specified time frames and within parameters set down by franchisor

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Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Strategic plan for expansion of franchise operation refers to:	• documented plan for franchise expansion including geographic spread of franchises, limits of regions/sites, number of franchises, other criteria for establishing new sites or regions
Industry data may include:	• information and statistics from government departments and agencies • reports and data from peak bodies
Applicants for new sites or regions include those who wish to:	• open a new site or region • take over an existing franchise
Requirements for establishing a franchise may include:	• skill levels or appropriate experience • capital or financial backing • physical aptitude or fitness • receipt of disclosure document as specified in the Franchising Code of Conduct • franchise specific requirements
Applicant business planning documents include:	• business plan • marketing plan • financial plan • other planning documents
Permits may include those associated with:	• specific business operations such as liquor licence • local government permits • fire safety and OHS • dangerous goods • other permits governed by commonwealth, state/territory legislation
Physical and human resources	• staff

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may include:	• IT and communications equipment • vehicles • franchise specific equipment • stock/raw materials/consumables • shop fittings/office furniture • premises
Requirements for entering into franchise agreement may include:	• financial • probity and police checks • health, fitness and aptitude • awareness and understanding of requirements as outlined in Franchising Code of Conduct • competence
Franchisee's obligations under franchising agreement may refer to:	• reporting of income, sales and turnover • quality assurance requirements • fees and pricing structures • stock control and inventory requirements, and reporting of this information • merchandising requirements • recognition of identified territory to avoid encroachment of territory between franchisees • franchise corporate image requirements and branding
Legislative requirements may include:	• occupational health and safety (OHS) requirements • fire regulations • relevant permits, licences and completion of training programs such as in safe food handling • Australian Taxation Office requirements, including requirements to register as a business and obtain an ABN • local government planning and land use zoning regulations • requirements under employment legislation • Dangerous Goods Act requirements • Liquor Licensing Act requirements • food safety requirements • other legislative requirements specific to the nature and type of franchise

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Training may include training:	• specified in initial franchise agreement • scheduled on a cyclical basis (such as yearly refresher courses and product knowledge workshops) • training required by legislation such as in first aid

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competency in this unit must be able to provide evidence that new sites or regions have been established successfully within the strategic plan for franchise expansion. Evidence will demonstrate the provision of advice and support to facilitate franchisees making informed decisions to commit to a franchise and being equipped to commence operations.

Specific Evidence Requirements

Required knowledge and understanding include:	• legislation, codes of practice and national standards relating to OHS, company law, fair trading, anti-discrimination and other areas specific to the franchise operation • Franchising Code of Conduct • franchise specific obligations: – as per franchise agreement – as per updates and amendments to agreement over time
Required skills and attributes include:	• ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities • business planning and management skills • communication skills • problem-solving skills • attributes: – attention to detail – thoroughness

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (2)	• communicating verbally including negotiation and consulting • communicating in writing to complete required documentation
Collecting, analysing and organising information (3)	• researching opportunities for new franchises
Planning and organising activities (3)	• planning and organising with potential franchisees to establish new franchises
Working in a team (2)	• working with other staff • working with franchisees
Using mathematical ideas and techniques (–)	• not applicable
Solving problems (2)	• applying problem-solving to issues arising in establishing new franchises
Using technology (–)	• not applicable
Innovation skills (–)	• not applicable

Products that could be used as evidence include:

- documentation of new opportunities for franchises and analysis undertaken
- completed agreements (within privacy and confidentiality provisions)
- recommendations for suitability of potential new franchisees
- correspondence and records of support provided to potential franchisees
- documented planning and arrangements made with new franchisees to commence operations

Processes that could be used as evidence include:

- how new opportunities for franchises were analysed and confirmed
- how new franchisees were selected
- how franchisees' ability to meet franchising requirements were confirmed

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	• how agreements were reached and formalised with franchisees • how franchisees were assisted in making franchise ready for operation on due date for commencement
Resource implications for assessment include:	• access to workplace documentation
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • evidence of managing the establishment of new site or region franchises in either an actual workplace situation or in a simulated workplace
Integrated competency assessment means:	• this unit can be assessed alone or as part of an integrated assessment activity involving other relevant units in franchising and strategic management and including: – BSBFRA501A Establish a franchise operation – BSBFRA502A Manage a franchise operation – BSBFRA504A Manage relationships with franchisees – BSBFRA505A Manage closure of a franchise

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BSBFRA504A Manage relationships with franchisees

Unit Descriptor

This unit specifies the outcomes required for franchisors to manage their relationship with franchisees.

Competency Field

Business management services

Domain

Franchising

Application of the Competency

This unit covers establishing relationships with franchisees, facilitating customer service provision to franchisees, providing advice to franchisees, and monitoring and reviewing relationships with franchisees.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Establish relationship with franchisee	1.1 *Franchisee advisory council* and *other communication channels* are established to support franchisees and franchise operations
	1.2 Own role on franchisee advisory council is determined and implemented
	1.3 Role and responsibility as franchisor's representative is determined and clarified
	1.4 Schedule of contact with franchisees is established
	1.5 Initial meetings with franchisees are held to initiate ongoing relationships
	1.6 Roles and responsibilities of franchisor and franchisee are discussed and clarified with franchisees at initial meetings
2. Facilitate customer service provision to franchisees	2.1 *Services* to be provided to franchisees as per agreement are scheduled and facilitated
	2.2 Needs for additional services are negotiated and facilitated
	2.3 Marketing or other cooperative funds are managed according to documented agreements with franchisees
	2.4 Problems arising in service provision are resolved with franchisees in line with documented *complaint handling procedure*
	2.5 Currency of information relating to services provided through franchisor is maintained

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3. Provide advice to franchisees	3.1 Business activity of franchisees is monitored 3.2 Specific advice is provided to franchisees through *required training* 3.3 Requests for advice from franchisees are clarified and appropriate responses provided 3.4 Research is undertaken to inform advice to be provided 3.5 Advice provided is timely, accurate and provided in a manner that promotes acceptance of that advice 3.6 Advice provided is followed up to ensure comprehension of advice and appropriate responses are made by those advised
4. Review management of relationship with franchisees	4.1 Relationships with franchisees are monitored for customer satisfaction 4.2 Strategies and practices to manage relationship with franchisees are reviewed to identify improvements 4.3 Identified improvements in management of relationships with franchisees are implemented

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Franchisee advisory council:	• links franchisees and franchisor to inform best practice across franchise operations
Other communication channels may include:	• meeting schedules • workshops for franchisees • contact via email, mobile/office based telephone, pagers and other emergency contact channels
Services provided to franchisees may include:	• facilitating identifying training needs and training • advice on operational matters • assistance with use and maintenance of equipment • assistance with quality assurance

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Complaint handling procedure:	• is specified in the Franchising Code of Conduct
Required training may include training:	• specified in franchise agreement as franchise is established • scheduled on cyclical basis (such as yearly refresher courses, product knowledge workshops) • training required by legislation such as First Aid, Food Handlers Course

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that strategies and processes are in place and are used to manage relationships with franchisees to facilitate good working relationships and efficient and effective business operations within franchises.

Specific Evidence Requirements

Required knowledge and understanding include:	• legislation, codes of practice and national standards relating to OHS, company law, fair trading, anti-discrimination and other areas specific to the franchise operation • Franchising Code of Conduct • franchise specific obligations: – as per franchise agreement – as per updates and amendments to agreement over time
Required skills and attributes include:	• ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities • business planning and management skills • communication skills • problem-solving skills • attributes: – attention to detail – thoroughness – empathy

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Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (3)	• communicating verbally including negotiating and consulting • communicating in writing to complete documentation requirements
Collecting, analysing and organising information (3)	• researching and gathering information to inform advice to franchisees
Planning and organising activities (3)	• planning and organising provision of customer service to franchisees
Working in a team (2)	• working with staff • working with franchisees
Using mathematical ideas and techniques (–)	• not applicable
Solving problems (2)	• applying problem-solving to issues arising in working with franchisees
Using technology (–)	• not applicable
Innovation skills (–)	• not applicable

Products that could be used as evidence include:

- schedules for visits and meetings with franchisees and notes made during such meetings
- documentation of services arranged for franchisees
- documentation of advice provided to franchisees and notes made in preparing advice
- improvements made to management of relationships with franchisees

Processes that could be used as evidence include:

- how relationships were established with franchisees
- how needs for services were determined and provided to franchisees
- how needs for advice were identified and met
- how relationships with franchisees were monitored and reviewed
- how improvements to management arrangements with franchisees were identified and implemented

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Resource implications for assessment include:

- access to workplace documentation
- access to feedback from franchisees

Validity and sufficiency of evidence requires:

- that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment.
- evidence of managing relationships with franchisees over a period of time to facilitate good relationships and efficient and effective business operations within franchises in either an actual workplace situation or in a simulated workplace

Integrated competency assessment means:

- that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant units in franchising and strategic management and including:
  - BSBFRA501A Establish a franchise operation
  - BSBFRA502A Manage a franchise operation
  - BSBFRA503A Manage establishment of new sites or regions
  - BSBFRA505A Manage closure of a franchise

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BSBFRA505A Manage closure of a franchise

Unit Descriptor

This unit specifies the outcomes required for franchisors to manage the closure of a franchise or its transfer to a new franchisee, or to take action to prevent a closure being executed.

Competency Field

Business management services

Domain

Franchising

Application of the Competency

This unit covers investigating alternatives to closure and implementing these alternatives, determining roles and responsibilities in closure or transfer, implementing a plan for closure or transfer, and reviewing implications of a franchise closure for franchise operations.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Investigate alternatives to closure and implement	1.1 Reasons for closure are discussed, documented and analysed with *relevant stakeholders* 1.2 Lessons learned from potential closure of franchise are used to inform process of arriving at alternative strategies 1.3 *Alternative strategies* to closure are researched and negotiated with franchisee and relevant third parties 1.4 Feasibility of transferring franchise to new franchisee is assessed 1.5 Where feasible, alternative arrangements to closure including transfer are implemented
2. Determine roles and responsibilities in closure or transfer of franchisee	2.1 *Roles and responsibilities* of all parties in closure or transfer are determined in line with Franchising Code of Conduct 2.2 Process for effecting closure or transfer is negotiated with relevant stakeholders and documented in the form of a plan 2.3 Responsibilities for effecting closure or transfer are allocated 2.4 Closing date or transfer date for franchise is negotiated with relevant stakeholders
3. Implement plan for closure or transfer	3.1 Closing date or transfer date for franchise is communicated to relevant stakeholders 3.2 *Disposal of assets* is carried out according to plan or transferred to new franchisee

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	3.3 *Financial settlements* are facilitated
	3.4 Arrangements for closure or transfer are implemented in consultation with customers
	3.5 Intellectual property including client database are disposed of according to agreement between franchisor and franchisee
	3.6 Checks are undertaken to ensure that the process for closure or transfer has been completed according to plan
4. Review implications for franchise operations	4.1 Implications for franchise operations are analysed from review of closure or transfer
	4.2 Improvements to franchise operations and management of franchises are identified and recommended

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Relevant stakeholders may include:	• franchisee • other franchisor management staff • financial institutions and backers for franchisee • customers • regulatory authorities issuing relevant permits
Alternative strategies may include:	• refinancing • transfer to new operator • franchisor take-over of operations on a temporary basis until new franchisee is selected • resizing of business • negotiating ‘grace periods’ for debts • franchise specific promotion • combination of these strategies
Roles and responsibilities may	• managing financial settlements and handling debtors

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include:	• managing supplier relationships during closure/transfer • disposing of assets • selecting new franchisees • informing customers of new arrangements
Disposal of assets may be via:	• sale, tender or offer to new franchisee(s)
Financial settlement may be facilitated by:	• financial institutions • franchisor's financial officers or debt collectors

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that closure of a franchise is effected (if a viable alternative cannot be found) via a planned and negotiated process involving all stakeholders after attempts have been made to determine and implement alternatives to closure. Evidence will demonstrate that the reasons for closure are examined to inform both future franchise operations and the future of the individual franchise.

Specific Evidence Requirements

Required knowledge and understanding include:	• legislation, codes of practice and national standards relating to OHS, company law, fair trading, anti-discrimination and other areas specific to the franchise operation • Franchising Code of Conduct • franchise specific obligations: – as per franchise agreement – as per updates and amendments to agreement
Required skills and attributes include:	• ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities • business management skills • communication skills including negotiation skills • analysis and evaluation skills • problem-solving skills • empathy

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Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (3)	• communicate verbally including negotiating and consulting • communicate in writing to complete documentation requirements
Collecting, analysing and organising information (3)	• researching alternative arrangements and reasons for closure
Planning and organising activities (3)	• planning and organising process for closure
Working in a team (2)	• working with franchisee • working with relevant stakeholders and franchisor staff to effect closure
Using mathematical ideas and techniques (–)	• not applicable
Solving problems (2)	• applying problem-solving to issues arising in closure process or to seek alternatives to closure
Using technology (–)	• not applicable
Innovation skills (–)	• not applicable

Products that could be used as evidence include:

- documented alternatives to closure
- documentation of negotiations undertaken in transfer or closure
- plan for process for closure or transfer
- correspondence and records made in planning and implementing closure or transfer
- documented analysis, review and identified improvements to franchise operations
- documented analysis and recommendations relating to closure or transfer of individual franchise

Processes that could be used as evidence include:

- how alternative strategies were researched and rejected or implemented
- how closure or transfer was planned
- how closure or transfer was effected

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	• how review and associated analysis was undertaken to recommend changes to franchise operations and future of individual franchise
Resource implications for assessment include:	• access to workplace documentation
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment. • evidence of effective closure or transfer of a franchise in either an actual workplace situation or in a simulated workplace
Integrated competency assessment means:	• that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant units in franchising and strategic management and including: – BSBFRA501A Establish a franchise operation – BSBFRA502A Manage a franchise operation – BSBFRA503A Manage establishment of new sites or regions – BSBFRA504A Manage relationships with franchisees

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BSB01 Business Services Training Package

Quality Auditing Competency Standards

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BSBAUD401A Prepare for a quality audit

Unit Descriptor

This unit specifies the outcomes required to prepare for the conduct of a quality audit within a quality audit team by reviewing, identifying and developing specific components of the audit plan.

Competency Field

Business management services

Domain

Quality auditing

Application of the Competency

This unit addresses reviewing auditee documentation, identifying and preparing checklists and audit related documentation, and preparing audit schedules through the lead auditor.

The types of audit may include an external or internal systems audit or process or product/service audit. Preparation for an audit as a sole auditor is addressed by BSBAUD501A Initiate a quality audit. This unit (BSBAUD401A) is relevant to preparing for an audit where the audit is undertaken by an audit team.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Review auditee documentation	1.1 Auditee's previous quality audits are reviewed to establish possible impact on the conduct of the current audit
	1.2 Relevant organisational documents are reviewed and checked for adequacy
	1.3 Issues which arise are resolved with auditee and relevant parties
2. Identify and prepare checklists and audit related documentation	2.1 Appropriate checklists are developed to reflect scope and objectives of the quality audit
	2.2 Potential risks are identified and contingency plans developed
	2.3 Specific work documents required for quality audit are developed or obtained as required
	2.4 Value-adding activities are included in audit related documentation where required
3. Develop audit schedules through the lead auditor	3.1 Schedules and required resources are confirmed with auditee before auditing activities begin
	3.2 Preparation activities and documentation are checked to ensure they correspond with the *audit plan*

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3.3 Approval is sought and received for quality audit plan, activities, *methods and techniques* and relevant *documentation* from auditee through lead auditor

3.4 Entry and exit meeting agendas are prepared

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace which may include**:**

- award and enterprise agreements and relevant industrial instruments
- 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 industry codes of practice

The *audit plan* may include:

- entry meeting
- timelines and schedules
- scope and objectives of audit
- audit requirements and/or identification of relevant quality system documentation
- resource requirements
- contingency actions
- sampling techniques
- auditee provision of personnel for audit
- safety of auditors
- measurement criteria
- reporting procedures
- distribution of reports
- exit meeting
- follow-up procedures
- confidentiality requirements

Methods and techniques may include:

- analysis
- sampling
- scanning
- determining information flows
- evaluating the effectiveness of system controls
- questioning
- tracing

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- trend analysis
- advanced management information systems

Documentation may include:

- checklists
- schedules
- audit procedures
- sampling plans defined in documented procedures or in the audit plan
- forms for recording information
- forms for documenting conformance and non-conformance evidence
- records of meetings
- previous audit reports
- quality standards
- organisational charts

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that they have undertaken preparations for a range of quality audits that will involve a team leader and a team of auditors. Evidence of preparation for such audits will include production of audit documentation including: an audit plan with schedules, activities, methods and techniques; risk analysis and proposed treatment of identified risks; approval for proposed plan; and entry and exit meeting agendas.

Specific Evidence Requirements

Required knowledge and understanding include:

- audit methods and techniques
- legal issues and terminology relating to quality auditing
- codes of practice, regulations and standards, for example *ISO 9000:2000: Quality Management Systems – Fundamentals and Vocabulary, ISO 19011:2003: Guidelines for Quality and/or Environmental Management Systems Auditing*
- product and/or service knowledge
- quality principles and techniques
- current audit practices
- auditor code of ethics

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Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- risk assessment
- communication skills: interpersonal, listening, questioning techniques
- team work
- problem-solving
- organisational and planning skills
- time management

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (2)	• communicating verbally to negotiate and consult with auditee and other relevant parties • communicating in writing to meet documentation requirements
Collecting, analysing and organising information (2)	• gathering information and tools • analysing available methods to inform audit
Planning and organising activities (2)	• planning audit schedule and activities with auditee
Working in a team (2)	• working with team leader and auditing team and personnel in area to be audited
Using mathematical ideas and techniques (1)	• applying basic numerical and mathematical calculation skills to auditing processes
Solving problems (2)	• applying problem-solving skills to risk analysis and treatment • applying problem-solving skills to issues arising with auditee and relevant parties
Using technology (1)	• using word processing software to produce required documentation for audits • using assistive technology, if required
Innovation skills (1)	• identifying improvements to audit plan and methodologies to be used

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Products that could be used as evidence include:	• completed audit plan with schedules, scope, objectives, outcomes and resources • notes made in preparing audit plan • risk analysis and treatment options • checklists and other tools developed for audit
Processes that could be used as evidence include:	• how audit documentation was reviewed and issues resolved with auditee in relation to proposed audit • how documentation was prepared for audit, including risk analysis and treatment options • how audit schedules were developed and approval gained
Resource implications for assessment include:	• access to workplace documentation
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • at least four examples of completed audit plans that have been produced by the candidate for a range of situations
Integrated competency assessment means:	• that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant units in the areas of auditing, project management and frontline management

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BSBAUD402A Participate in a quality audit

Unit Descriptor

This unit specifies the outcomes required to participate in a quality audit as part of an audit team. It covers participating in entry meetings, identifying and gathering information during an audit, analysing and evaluating information and data gathered, reporting findings to the lead auditor, and participating in exit meetings**.**

Competency Field

Business management services

Domain

Quality auditing

Application of the Competency

This unit addresses participating in a quality audit in accordance with established audit criteria and procedures. The types of audit may include an external or internal systems audit or process or product/service audit.
Outcomes associated with leading the audit team and reporting on the outcomes of audits are addressed by BSBAUD503A Lead a quality audit and BSBAUD504A Report on a quality audit. BSBAUD501A Initiate a quality audit and BSBAUD502A Prepare to lead a quality audit, address outcomes associated with acting as the lead auditor.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Participate in an entry meeting	1.1 Objective and scope of audit are confirmed at the meeting
	1.2 Schedules and logistical arrangements are confirmed at the meeting
	1.3 Changes to plan, schedules and arrangements are made where required
2. Identify and gather information	2.1 A range of potential sources of *information* is identified
	2.2 *Appropriate persons* are interviewed
	2.3 *Sample documentation* is collected
3. Analyse information	3.1 Audit methods and techniques are used to analyse relevant information
	3.2 Patterns, trends, interrelationships and areas of risk are identified and reported
	3.3 Aspects of the audit that require the use of specialists are identified and assistance requested

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4. Evaluate information	4.1	Information is evaluated against prescribed benchmarks
	4.2	A defensible opinion is formed as to the meeting of benchmarks by the auditee
	4.3	Opinions are formed from and supported by available information
5. Report findings	5.1	Findings are formulated and a corrective action report is prepared
	5.2	Results/findings are examined against audit objectives and presented to lead auditor
	5.3	Recommendations for improvements are reported as applicable
6. Participate in exit meeting	6.1	Preparations are made for exit meeting
	6.2	Reporting arrangements are agreed upon
	6.3	Context and consequences of audit are explained, and follow-up discussed

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Information may include:	• interview results • activities • internal documentation • records, such as meeting minutes, reports or log books • reports from external sources, such as external laboratory reports and vendor ratings
Appropriate persons may include:	• persons performing activities or tasks under consideration in the audit process • persons from different levels within the auditee's organisation, such as management, administrative personnel and workfloor personnel

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Sample documentation may include:	• meeting minutes • reports • log books • reports from external sources • documented procedures • work instructions • previous audit reports • test results • systems specifications • user requirements definitions.
A *corrective action report* is used:	• when discrepancies or non-compliances are detected; it sets out the action required to correct the problem or to initiate modifications

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that they have participated in a range of quality audits as a member of a quality audit team. Evidence will demonstrate participation in entry and exit meetings, gathering of data and information by a range of methods, and analysis of the information gathered to arrive at findings to be included as part of overall report to the exit meeting.

Participation in the audit will be under the supervision of a lead auditor.

Specific Evidence Requirements

Required knowledge and understanding include:	• legal issues/terminology relating to quality auditing • audit methods and techniques • Codes of practice, regulations and standards, for example *ISO 9000:2000: Quality Management Systems – Fundamentals and Vocabulary, ISO 19011:2003: Guidelines for Quality and/or Environmental Management Systems Auditing* • product and/or service knowledge • quality principles and techniques • current audit practices • auditor code of ethics

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Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- communication skills – interpersonal and listening/questioning skills
- team work
- problem-solving
- organisational and planning skills
- time management

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (2)	• communicating verbally to work with auditees, lead auditor and other team members associated with the audit • communicating in writing to meet documentation requirements
Collecting, analysing and organising information (3)	• gathering information and data during the course of the audit • analysing information gathered during the audit to arrive at findings
Planning and organising activities (1)	• planning for own participation in audit team activities with others and under supervision of lead auditor
Working in a team (2)	• working with lead auditor, other audit team members and auditees
Using mathematical ideas and techniques (1)	• applying basic numerical and mathematical calculation skills to auditing processes
Solving problems (2)	• applying problem-solving skills to address issues arising during course of audit
Using technology (1)	• using word processing software to produce required documentation arising from analysis and evaluation phase of audit • using assistive technology, if required

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Innovation skills (1)	• identifying improvements to performance of auditee or area being audited through the audit process
Products that could be used as evidence include:	• notes made to record interviews for audit • notes made in analysis and evaluation phase • corrective action reports • documented findings • correspondence with other audit team members, lead auditor and auditees
Processes that could be used as evidence include:	• how individual participated in entry and exit meetings • how determination was made of relevance of information gathered • how required information was gathered and how process was selected for information gathering • how information was analysed and evaluated against prescribed benchmarks • how findings were formulated and reported to lead auditor
Resource implications for assessment include:	• access to audit documentation • access to feedback from lead auditor, auditees and other team members
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • at least four examples of participation in audits as a member of the audit team for a range of situations
Integrated competency assessment means:	• that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant units in areas of auditing, project management and frontline management

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BSBAUD501A Initiate a quality audit

Unit Descriptor

This unit specifies the outcomes required to initiate and organise a quality audit with an auditee. It covers assessing the scope and objectives of a quality audit; communicating with the auditee regarding the proposed quality audit; identifying resources required to conduct the audit; and developing and submitting a quality audit plan.

Competency Field

Business management services

Domain

Quality auditing

Application of the Competency

A quality audit is a systematic and objective examination and comparison of activities and their results with specified requirements, and the determination about whether these are effective in meeting objectives. The types of audit may include an external or internal systems audit or process or product/service audit.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Assess the quality audit scope and objectives	1.1 *Audit objectives* are determined and discussed with the auditee, client and all other relevant parties 1.2 *Scope* of the quality audit is determined and discussed with the auditee, client and all other relevant parties 1.3 *Relevant standards* that impact on the environment in which the audit operates are identified 1.4 Scope is determined commensurate with identified risks
2. Communicate with auditee regarding proposed quality audit	2.1 Audit history, organisational structure and culture are determined through consultation with the auditee 2.2 Proposed *audit methods and techniques* to be applied are negotiated and agreed with the auditee 2.3 Audit processes are outlined to establish sequence of audit activities, and the roles of the auditors and auditees in the process
3. Identify resources required to conduct the quality audit	3.1 *Resources* required to perform the quality audit efficiently and effectively are identified 3.2 Availability of resources required to conduct the audit is confirmed with auditee

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4. Develop and submit a quality audit plan	4.1 *Quality audit plan* is developed according to established scope and objectives
	4.2 Timing, schedules and responsibilities are assigned for implementation of the audit plan
	4.3 Audit priorities are developed and agreed with auditees and audit team members
	4.4 Audit plan is documented and submitted to auditee

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Audit objectives may include:	• evaluation of level of compliance of auditee's activities, systems, processes, products or services with the quality system's objectives • compliance with contractual and/or legislative requirements • measuring performance in achieving quality objectives and confirming the effectiveness of the implemented quality system in meeting specified objectives • identifying areas of potential improvement • evaluation of follow-up corrective action since previous audit
Scope may include:	• depth and focus of audit • sites • industry specific issues, for example seasonal factors • standards to be applied • products, services, processes and/or activities to be audited • legal and regulatory issues • organisational customs and protocols
Relevant standards may include:	• relevant legislation • regulations

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	• professional standards • industry standards
Audit methods and techniques may include:	• analysis • sampling • scanning • determining information flows • evaluating the effectiveness of system controls • questioning • tracing • trend analysis
Resources may include:	• number of auditors required • experience and technical expertise of auditors • time • facilities • travel and accommodation • auditee-provided resources • reference materials • financial requirements
The *quality audit plan* may be as comprehensive as necessary, and include:	• entry meeting • roles and responsibilities of auditors • timelines and schedules • scope and objectives of audit • audit requirements and/or identification of relevant quality system documentation • resource requirements • contingency actions • sampling techniques • auditee provision of personnel for audit • safety of auditors • measurement criteria • reporting procedures • distribution of reports • exit interview • follow-up procedures • confidentiality requirements

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Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that they have planned a number of quality audits with auditees and submitted audit plans for approval and actioning. The documented audit plans will include the scope and objectives of the audit, audit methods and techniques, required resources and schedules, and responsibilities for conducting the proposed audit.

Specific Evidence Requirements

Required knowledge and understanding include:

- legal issues and terminology relating to quality auditing
- audit methods and techniques
- codes of practice, regulations and standards, for example *ISO 9000:2000: Quality Management Systems – Fundamentals and Vocabulary, ISO 19011:2003: Guidelines for Quality and/or Environmental Management Systems Auditing*
- product and/or service knowledge
- quality principles and techniques
- current audit practices
- auditor code of ethics

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- communication skills: interpersonal, listening and questioning techniques
- team work
- problem-solving
- organisational and planning skills
- time management

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Key competencies or generic skills relevant to this unit	The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit: Level (1) represents the competence to undertake tasks effectively Level (2) represents the competence to manage tasks Level (3) represents the competence to use concepts for evaluating and reshaping tasks The bulleted points provide examples of how the key competencies can be applied for this unit.
Communicating ideas and information (3)	• communicating verbally to negotiate and consult with auditee and other relevant parties associated with the audit • communicating in writing to meet documentation requirements
Collecting, analysing and organising information (2)	• gathering information and tools • analysing available methods to inform audit
Planning and organising activities (3)	• planning audit schedule and activities with auditee
Working in a team (2)	• working with auditee, other auditors and managers to gain approval for audit plan
Using mathematical ideas and techniques (1)	• applying basic numerical and mathematical calculation skills to auditing processes
Solving problems	• not applicable
Using technology (1)	• using word processing software to document audit plan • using assistive technology, if required
Innovation skills (1)	• identifying improvements to performance of auditee or area being audited through the process of initiating the audit
Products that could be used as evidence include:	• completed audit plan with schedules, scope, objectives and responsibilities • notes made in preparing the audit plan • lists of required resources for audit
Processes that could be used as evidence include:	• how scope and objectives of audits were determined • how audit methods and techniques were negotiated and agreed to with auditee • how required resources for audit were determined • how audit plan was negotiated and agreement gained for plan

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Resource implications for assessment include:	• access to workplace documentation • access to auditee's feedback on how audit plans were developed
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • at least four examples of completed audit plans produced by the candidate for a range of situations
Integrated competency assessment means:	• that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant units in the areas of auditing, project management and frontline management

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BSBAUD502A Prepare to lead a quality audit

Unit Descriptor

This unit specifies the outcomes required to prepare for leading a quality audit by reviewing and developing specific components of the audit plan, discussing the process with relevant stakeholders, and delegating components of the work to team members.

Competency Field

Business management services

Domain

Quality auditing

Application of the Competency

This unit is relevant to a lead auditor's preparations for an audit. Outcomes associated with carrying out audit preparation tasks as a member of an audit team under the leadership of a lead auditor are addressed by BSBAUD401A Prepare for a quality audit.

The types of quality audit that may be covered by this standard include an external or internal systems audit or process or product/service audit.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Review auditee documentation	1.1 Auditee's previous quality audits are reviewed to establish possible impact on the conduct of the current audit
	1.2 Relevant organisational documents are reviewed and checked for adequacy
	1.3 Problems which arise are resolved with auditee and relevant parties
2. Identify and select audit team members	2.1 Audit team members are identified and selected on the basis of relevant expertise
	2.2 Roles and responsibilities are assigned to audit team members
3. Plan audit team member responsibilities	3.1 All audit team members are made aware of the audit objectives and scope
	3.2 All audit team members are made aware of their responsibilities and duties relating to the quality audit
	3.3 Contents of the *audit plan* and schedules are communicated to all audit team members
	3.4 *Audit methods and techniques* are discussed and clarified with audit team members

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4. Identify and prepare checklists and audit related documentation	4.1 Checklists are developed to reflect scope and objectives of the quality audit 4.2 *Documentation* required for the quality audit is developed or obtained as required 4.3 Agenda for entry meeting is prepared 4.4 Value-adding activities are included in audit related documentation where required 4.5 Potential risks are identified and strategies developed to deal with risks

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Audit plan may include:	• entry meeting • roles and responsibilities of auditors • timelines and schedules • scope and objectives of audit • audit requirements and/or identification of relevant quality system documentation • resource requirements • contingency actions • sampling techniques • auditee provision of personnel for audit • safety of auditors • measurement criteria • reporting procedures • distribution of reports • exit interview • follow-up procedures • confidentiality requirements
Audit methods and techniques may include:	• analysis • sampling

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- scanning
- determining information flows
- evaluating the effectiveness of system controls
- questioning
- tracing
- trend analysis

Documentation may include:

- checklists
- schedules
- audit procedures
- sampling plans defined in documented procedures or in the audit plan
- forms for recording information
- forms for documenting conformance and non-conformance evidence
- records of meetings
- previous audit reports
- quality standards
- organisational charts

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that they have undertaken a leadership role in preparing for a number of quality audits. Evidence will include preparing to review auditee documentation, identifying and selecting audit team members, assigning and communicating audit team member responsibilities, and identifying and preparing checklists and audit related documentation.

Specific Evidence Requirements

Required knowledge and understanding include:

- audit methods and techniques
- legal issues and terminology relating to quality auditing
- codes of practice, regulations and standards, for example *ISO 9000:2000: Quality Management Systems – Fundamentals and Vocabulary, ISO 19011:2003: Guidelines for Quality and/or Environmental Management Systems Auditing*
- product and/or service knowledge
- quality principles and techniques

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- current audit practices
- auditor code of ethics

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- risk assessment
- communication skills: interpersonal, listening and questioning techniques
- leadership
- team work
- problem-solving
- organisational and planning skills
- time management

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (3)	• communicating verbally to negotiate and consult with auditee and audit team members • communicating in writing to meet documentation requirements
Collecting, analysing and organising information (2)	• gathering information and tools • analysing available methods to inform audit
Planning and organising activities (3)	• planning audit schedule and activities with auditees and audit team members • plan and assign team member responsibilities
Working in a team (2)	• working with team members and auditees
Using mathematical ideas and techniques (1)	• applying basic numerical and mathematical calculation skills to preparing for auditing processes
Solving problems (2)	• applying problem-solving skills to risk analysis and treatment • applying problem-solving skills to issues arising with auditee and relevant parties

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Using technology (1)	• using word processing software to produce required documentation for audits • using assistive technology, if required
Innovation skills (1)	• identifying improvements to audit plan and methodologies to be used
Products that could be used as evidence include:	• completed work documents collated for audit • completed audit plan with schedules, scope, objectives, resources and audit related documentation • notes made in preparing audit plan, checklists and audit related documentation • risk analysis and treatment options • correspondence with audit team members • checklists and other tools developed for audit
Processes that could be used as evidence include:	• how auditee documentation was reviewed • how problems arising with auditee and relevant parties were addressed • how audit team members were identified and selected • how checklists were developed for use in audit • how risk analysis and treatment options were executed and developed
Resource implications for assessment include:	• access to workplace documentation • access to feedback from audit team members
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • at least four examples of completed preparations for audits by an audit team produced by the candidate for a range of situations
Integrated competency assessment means:	• that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant units in the areas of auditing, project management and frontline management

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BSBAUD503A Lead a quality audit

Unit Descriptor

This unit specifies the outcomes required to lead an audit team undertaking a quality audit. It covers conducting entry and exit meetings, identifying and gathering relevant information, managing audit team resources, and providing feedback to audit team members on their performance.

Competency Field

Business management services

Domain

Quality auditing

Application of the Competency

The unit is relevant to audits where a lead auditor is responsible for a team of auditors. The types of quality audit that may be covered by this standard include an external or internal systems audit or process or product/service audit.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Conduct entry meeting	1.1 Entry meeting is organised in advance at a mutually agreed time 1.2 Agenda for audit is prepared 1.3 Objectives and scope of the audit are confirmed at the meeting 1.4 Schedules and logistical arrangements are confirmed at the meeting 1.5 Changes to plan, schedules and arrangements are made where required
2. Identify and gather information	2.1 A range of potential *sources of information* is identified 2.2 *Appropriate persons* are interviewed 2.3 Relevant information and *sample documentation* is gathered
3. Manage audit team resources	3.1 Activities of audit team members are supervised 3.2 Audit team findings are assessed and reviewed in line with audit scope 3.3 Team members are re-assigned as required 3.4 Contingency actions are taken as required 3.5 Agreement is sought and reached on corrective action reports

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4. Conduct exit meeting	4.1 Preparations are made for exit meeting
	4.2 Results and findings are examined against audit objectives and presented to auditee
	4.3 Reporting arrangements are agreed upon
	4.4 Context and consequences of audit are explained and discussed during follow-up
5. Provide feedback to members of audit team	5.1 Feedback on performance is provided to audit team members
	5.2 Audit team members are encouraged to critique their own work as part of the audit team
	5.3 Advice for improvement is provided and documented

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Sources of information may be:	• interviews • observation of activities • examination of internal documentation • inspection of records, for example meeting minutes, reports or log books • examination of reports from external sources, e.g. external laboratory reports and vendor ratings
Appropriate persons may include:	• persons performing activities or tasks under consideration in the audit process • persons from different levels within the auditee's organisation, for example management, administrative personnel and workfloor personnel
Sample documentation may include:	• meeting minutes • reports • log books • reports from external sources

- documented procedures
- work instructions
- previous audit reports
- test results
- systems specifications
- user requirements definitions.

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this standard must be able to provide evidence that they have taken a leadership role in a range of quality audits. Evidence will demonstrate that the individual managed the information gathering process by team members and the analysis, synthesis and reporting of findings.

Specific Evidence Requirements

Required knowledge and understanding include:

- legal issues and terminology relating to quality auditing
- audit methods and techniques
- codes of practice, regulations and standards, for example *ISO 9000:2000: Quality Management Systems – Fundamentals and Vocabulary, ISO 19011:2003: Guidelines for Quality and/or Environmental Management Systems Auditing*
- product and/or service knowledge
- quality principles and techniques
- current audit practices
- auditor code of ethics

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- communication skills: interpersonal, listening and questioning techniques
- team work
- leadership
- problem-solving
- organisational and planning skills
- time management

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Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (3)	• communicating verbally to work with auditees and other team members associated with the audit • communicating in writing to meet documentation requirements
Collecting, analysing and organising information (2)	• managing process to gather and analyse information for audit
Planning and organising activities (2)	• planning and organising own role in audit and that of members of the audit team • overseeing audit process
Working in a team (3)	• leading and working with audit team • working with auditees
Using mathematical ideas and techniques (1)	• applying basic numerical and mathematical calculation skills to auditing processes
Solving problems (2)	• applying problem-solving skills to address issues arising during course of the audit
Using technology (2)	• understanding how the auditee uses software in managing data • using word processing software to produce required documentation arising from analysis and evaluation phase of audit • using assistive technology, if required
Innovation skills (2)	• identifying and recommending improvements to auditee team members' performance

Products that could be used as evidence include:

- correspondence with auditees and team members
- corrective action reports
- reports provided for auditees
- agendas and minutes of entry and exit meetings
- written feedback provided to audit team members

Processes that could be used as evidence include:

- how process was planned from entry to exit meeting
- how team members were managed during audits

	• how contingencies were addressed as they arose • how team members' participation was reviewed and fed back to individuals
Resource implications for assessment include:	• access to audit documentation • access to feedback from auditees and other team members
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • at least four examples of participation in audits as a lead auditor for the audit team for a range of situations
Integrated competency assessment means:	• that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant units in the areas of auditing, project management and frontline management

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BSBAUD504A Report on a quality audit

Unit Descriptor

This unit specifies the outcomes required to report on the outcomes of a quality audit and to take appropriate follow-up action. It covers compiling audit results; preparing a report for the auditee/client; negotiating follow-up action with the auditee/client; and monitoring and reviewing auditing system and activities.

Competency Field

Business management services

Domain

Quality auditing

Application of the Competency

The unit addresses the function performed by either an auditor having sole responsibility for the audit or a lead auditor of a team.

The types of quality audit that may be covered by this standard include an external or internal systems audit or process or product/service audit.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Compile audit results	1.1 *Results* of the evaluation of audit evidence are compared against audit objectives and criteria
2. Prepare report	2.1 Objective evidence relating to the need for reduction, elimination and prevention of non-conformance is provided as basis for *the audit report*
	2.2 The audit report is produced according to specified audit requirements
	2.3 The audit report is presented to auditee and other stakeholders
3. Negotiate follow-up process with client/auditee	3.1 Determination and initiation of any corrective action required to deal with non-conformance is conducted in consultation with auditee
	3.2 Suggestions for improvements are provided where applicable
	3.3 Timelines are agreed upon for completion of corrective action activities
	3.4 Corrective action follow-up procedures are agreed with auditee
4. Monitor and review audit system and activities	4.1 Effectiveness and suitability in achieving audit objectives is evaluated
	4.2 Possible *improvements in audit methods*, economy and efficiency are investigated

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Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Results may include:	• objective evidence of conformance • objective evidence of non-conformance relating to organisational processes, systems, activities, products and/or services • examination and evaluation of controls associated with systems, activities and processes • corrective actions to reduce, eliminate and prevent non-conformance • means of improving processes, systems, products and business results
The audit report may include:	• the agreed objectives and scope of the audit • specified audit requirements • timeframe in which the audit was conducted • identification of the auditee's representatives • identification of audit team members • outline of the auditing process, including obstacles encountered • information on confidentiality • audit results • distribution list for the audit report • follow-up required • retention of auditing records, including work documents

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Improvements in audit methods can be investigated by:

- overall evaluation of the methods and effectiveness of the audit organisation
- evaluation of auditor performance
- review of the audit reporting process and records
- examination of complaints, appeals and other feedback received from auditee
- assessment of the audit results
- evaluation of the effect of the quality audit outcomes on the auditee's activities, products and/or services
- examination of mechanisms by which consistency of audits is achieved.

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that they have completed and presented a number of audit reports to auditees/clients and stakeholders, and negotiated required follow-up actions with the auditee/client.

Specific Evidence Requirements

Required knowledge and understanding include:

- legal issues and terminology relating to quality auditing
- audit methods and techniques
- codes of practice, regulations and standards, for example *ISO 9000:2000: Quality Management Systems – Fundamentals and Vocabulary, ISO 19011:2003: Guidelines for Quality and/or Environmental Management Systems Auditing*
- product and/or service knowledge
- quality principles and techniques
- auditor code of ethics

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- report development
- communication skills: interpersonal, listening and questioning techniques
- team work
- problem-solving

- organisational and planning skills
- presentation skills
- time management

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit

Communicating ideas and information (3)	• communicating verbally to report and negotiate with client/auditee • communicating in writing to document findings and follow-up actions as required
Collecting, analysing and organising information (2)	• determining required follow-up actions to be taken from outcomes of audits
Planning and organising activities (2)	• planning and organising follow-up actions with auditee/client
Working in a team (2)	• working with auditee/client and audit team involved in audits
Using mathematical ideas and techniques (-)	• not applicable
Solving problems (-)	• not applicable
Using technology (1)	• using word processing software to produce required documentation • using assistive technology, if required
Innovation skills (2)	• skills associated with introducing improvements to auditing system as a result of review process

Products that could be used as evidence include:

- completed reports detailing required follow-up actions
- notes made in preparing reports
- correspondence with auditee/client and audit team in relation to follow-up actions and reporting process
- action plans developed after negotiation with auditee/client

Processes that could be used as evidence include:

- how follow-up actions were determined from outcomes of audit
- how follow-up actions were negotiated

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	• how agreement was reached on follow-up action plans • how audit system and activities were reviewed
Resource implications for assessment include:	• access to relevant audit reports and follow-up action plans • access to feedback from auditees and other stakeholders
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • at least four examples of participation in follow-up actions and reporting of audit outcomes for a range of situations
Integrated competency assessment means:	• that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant units in the areas of auditing, project management and frontline management

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Business Services Training Package

BSB01

Volume 4B of 8

The contents of this volume refer only to the Endorsed Components
of BSB01 Business Services Training Package. This volume should not
be read in isolation but in the context of the Training Package as a whole
Please refer to the following page for details of other volumes in this Training Package.

This volume contains units of competency for

Project Management

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IBSA
INNOVATION & BUSINESS SKILLS AUSTRALIA

BSB01 Business Services Training Package

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Preliminary Information

Important Note to Users

Training Packages are not static documents; they are amended periodically to reflect the latest industry practices and are version controlled. It is essential that the latest version is always used.

Check the version number before commencing training or assessment

This Training Package is Version 4 – check whether this is the latest version by going to the National Training Information Service (www.ntis.gov.au) and locating information about the Training Package. Alternatively, contact Innovation and Business Skills Australia (www.ibsa.org.au) to confirm the latest version number.

Explanation of version number conventions

The primary release Training Package is Version 1. When changes are made to a Training Package, sometimes the version number is changed and sometimes it is not, depending on the extent of the change. When a Training Package is reviewed it is considered to be a new Training Package for the purposes of version control, and is Version 1. Do not confuse the version number with the Training Package's national code (which remains the same during its period of endorsement).

Explanation of the review date

The review date (shown on the title page and in the footer of each page) indicates when the Training Package is expected to be reviewed in the light of changes such as changing technologies and circumstances. The Training Package review date is not an expiry date. Endorsed Training Packages and their components remain current until they are reviewed or replaced.

Version modification history

The version details of this endorsed Training Package are in the table below. The latest information is at the top of the table.

Version	Release Date	Comments
4	**October 2004**	**Fields and domains** Version 4 includes all the fields and domains in Version 3 plus: - a new field of International Services which includes the new domain of International Trade/Business, - an expanded Business Management Services field with two new domains of Occupational Health and Safety (OHS) and Compliance Management, and - an expanded Common Business field to include 1 new unit. In total Version 4 BSB01 contains eight fields and twenty-four domains. **Qualifications added to BSB01 in Version 4** Version 4 includes all the qualifications in Version 3 plus the following six new qualifications. BSB30803 Certificate III in Business (International Trade) BSB42003 Certificate IV in Business (International Trade) BSB41603 Certificate IV in Occupational Health and Safety BSB51903 Diploma in International Business BSB51603 Diploma of Occupational Health and Safety BSB61003 Advanced Diploma of Occupational Health and Safety **Qualification Guide amendments** The Qualification Guide has been amended to include the new qualifications.

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Version	Release Date	Comments
		Units of competency This version includes all the units of competency provided in Version 3 plus the following additional fifty-seven new units of competency. BSBCMN421A Assist with compliance with OHS and other relevant laws BSBOHS401A Contribute to the implementation of a systematic approach to managing OHS BSBOHS402A Contribute to the implementation of the OHS consultation process BSBOHS403A Identify hazards and assess OHS risks BSBOHS404A Contribute to the implementation of strategies to control OHS risk BSBOHS405A Contribute to the implementation of emergency procedures BSBOHS406A Use equipment to conduct workplace monitoring BSBOHS501A Participate in the coordination and maintenance of a systematic approach to managing OHS BSBOHS502A Participate in the management of the OHS information and data systems BSBOHS503A Assist in the design and development of OHS participative arrangements BSBOHS504A Apply principles of OHS risk management BSBOHS505A Manage hazards in the work environment BSBOHS506A Monitor and facilitate the management of hazards associated with plant BSBOHS507A Facilitate the application of principles of occupational health to control OHS risk BSBOHS508A Participate in the investigation of incidents BSBOHS601A Develop a systematic approach to managing OHS BSBOHS602A Develop OHS information and data analysis and reporting and recording processes BSBOHS603A Analyse and evaluate OHS risk BSBOHS604A Apply ergonomic principles to control OHS risk BSBOHS605A Apply occupational hygiene principles to control OHS risk BSBOHS606A Develop and implement crisis management processes BSBOHS607A Advise on application of safe design principles to control OHS risk BSBOHS608A Conduct an OHS audit BSBOHS609A Evaluate an organisation's OHS performance BSBCOM401A Organise and monitor the operation of compliance management system BSBCOM402A Implement processes for the management of breaches in compliance requirements BSBCOM403A Promote and liaise on compliance requirements, systems and related issues BSBCOM501A Identify and interpret compliance requirements BSBCOM502A Evaluate and review compliance BSBCOM503A Develop processes for the management of breaches in compliance requirements BSBCOM504A Create a culture of compliance within an organisation BSBCOM601A Research compliance requirements and issues BSBCOM602A Develop and create compliance requirements BSBCOM603A Plan and establish compliance management systems BSBINT301A Apply knowledge of the international trade environment to complete work BSBINT302A Apply knowledge of legislation relevant to international trade to complete work BSBINT303A Organise the importing and exporting of goods BSBINT304A Assist in the international transfer of services BSBINT305A Prepare business documents for the international trade of goods BSBINT306A Apply knowledge of international finance and insurance to complete work requirements BSBINT401A Research international business opportunities BSBINT402A Market goods and services internationally BSBINT403A Research international markets BSBINT404A Implement international client relationship strategies BSBINT405A Apply knowledge of import and export international conventions, laws and finance BSBINT406A Promote compliance with legislation BSBINT407A Prepare business advice on export Free on Board Value BSBINT408A Prepare business advice on the taxes and duties for international trade transactions

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Version	Release Date	Comments
		BSBINT409A Plan for international trade BSBINT501A Profile international markets BSBINT502A Analyse consumer behaviour for specific international markets BSBINT503A Analyse data from international markets BSBINT504A Forecast international market and business needs BSBINT505A Build international client relationships BSBINT506A Build international business networks BSBINT507A Report on finances related to international business BSBINT508A Promote products and services to international markets
3	**March 2004**	Version 3 of BSB01 Business Services Training Package included the seven fields and twelve domains developed in Phase One (see version 1 & 2 notes below) together with the extensions to fields, additional domains, new units of competency and new and replacement qualifications developed in Phase Two as described below. **Fields expanded in Phase Two** ***Common Business*** – expanded to incorporate units of competency under additional areas (business communication; generalist marketing; first aid; project management; risk management; customer service; diversity and knowledge management). ***Business Administration Services*** – expanded to incorporate units of competency and qualifications in two new domains – Purchasing and Medical Administration. ***Business Management Services***– expanded to incorporate units of competency and qualifications in three new domains – Project Management, Franchising, Quality Auditing, and to provide additional Strategic Management units. ***Human Resources Management*** – expanded to incorporate units of competency and qualifications in two new domains – Unionism and Employment Services, and to provide additional Human Resources units. ***Business Development*** – expanded to incorporate additional units of competency for the Marketing domain. **Domains developed in Phase Two** Purchasing Medical Administration Project Management Franchising Unionism Employment Services Quality Auditing Frontline Management (review only) **Qualifications added to BSB01 in Phase Two** BSB30504 Certificate III in Business (Frontline Management) BSB30704 Certificate III in Business (Medical Administration) BSB41004 Certificate IV in Business (Frontline Management) BSB41404 Certificate IV in Business (Purchasing) BSB41504 Certificate IV in Project Management BSB41704 Certificate IV in Business (Franchising) BSB41804 Certificate IV in Unionism BSB41904 Certificate IV in Business (Employment Services) BSB51004 Diploma of Business (Frontline Management) BSB51404 Diploma of Business (Purchasing) BSB51504 Diploma of Project Management BSB51704 Diploma of Business (Franchising) BSB51804 Diploma of Unionism BSB51904 Diploma of Business (Quality Auditing) BSB60904 Advanced Diploma of Project Management **Deleted/replaced qualifications** The Frontline Management qualifications from BSB01 Versions 1 & 2 – BSB30501 Certificate III in Frontline Management, BSB41001 Certificate IV in Business (Frontline Management) and BSB51001 Diploma of Business (Frontline Management) are now replaced by new frontline qualifications at the same qualification as shown in the list above. **Qualifications Framework amendments** The Qualifications Framework has been amended to include the new qualifications, provide advice about replaced qualifications and provide specific packaging rules for three of the new qualifications – BSB41504 Certificate IV in Project Management, BSB51504 Diploma of Project Management, BSB60904 Advanced Diploma of Project Management – these have different rules and structure to the rest of the qualifications in BSB01.

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Version	Release Date	Comments
		Deleted/replaced units of competency • BSBFLM302A Support leadership in the workplace (deleted) • BSBFLM304A Participate in work teams (deleted) Because of overlap these units were replaced with a new unit – BSBFLM312A Contribute to team effectiveness • BSBFLM402A Show leadership in the workplace (deleted) • BSBFLM404A Lead work teams (deleted) Because of overlap these units were replaced with a new unit – BSBFLM412A Promote team effectiveness • BSBFLM502A Provide leadership in the workplace (deleted) • BSBFLM504A Facilitate work teams (deleted) Because of overlap these units were replaced with a new unit – BSBFLM512A Ensure team effectiveness **Imported units of competency** The following units of competency included in this version were imported from other Training Packages THHGLE09B Manage workplace diversity CHCAD1C Advocate for clients CHCCS1B Deliver and monitor service to clients CHCCS401A Facilitate cooperative behaviour CHCES302A Work with government in a purchaser provider relationship CHCES304A Deliver recruitment services CHCES305A Monitor New Apprenticeships arrangements CHCES402A Deliver New Apprenticeship services CHCES301A Work in the Employment Services area CHCCAR501A Provide careers guidance CHCES303A Use labour market information CHCCM2C Establish and monitor a case plan CHCES406A Provide job search support CHCCM4B Promote high quality case management CHCORG29A Provide coaching and motivation CHCCS2C Deliver and develop client service CHCCD12C Apply a community development framework CHCCS3C Coordinate the provision of services and programs CHCCS402A Respond holistically to complex client issues CHCCS5B Identify and address specific client needs CHCCS405A Work effectively with culturally diverse clients and co-workers CHCES405A Monitor service performance in a purchaser provider relationship with government CHCDIS8B Support people with disabilities as workers CHCCS6B Assess and deliver services to clients with complex needs CHCDIS9B Maximise participation in work by people with disabilities CHCDIS18A Support students with special needs CHCES502A Research and report on labour market information CHCES401A Analyse and apply labour market information CHCCS4C Manage the delivery of quality client service CHCES403A Develop and monitor employment plans CHCDIS11B Coordinate disability work CHCES404A Promote clients to employers CHCES501A Manage service delivery in a purchaser-provider relationship with government CHCES501A Manage service delivery in a purchaser-provider relationship with government PSPGOV603A Develop a tender submission LGACOM409A Prepare tender documents PSPPROC602A Direct management of contracts PSPPROC702A Establish the procurement context
2	**1 May 2002**	**Addition of e-Business field** Version 2 added the new field of e-Business involving fifty-nine new units of competency and eight new qualifications to BSB01. The development of this field of BSB01 was part of the Phase One work but endorsed later than the bulk of Phase One development.

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Version	Release Date	Comments
1	**3 September 2001**	**Fields covered by BSB01 Business Services Training Package Version 1** Version 1 reflected Phase One of the development of the Business Services Training Package (less e-Business field – see Version 2 note above) and included the following fields and domains. • Common Business • Business Administration Services • Business Information Services • Business Management Services • Human Resource Management • Business Development **Domains developed in Phase One:** • Specialist Administration • Legal Services • Recordkeeping • Frontline Management • Governance (Indigenous Organisations) • Small Business Management • Strategic Management • Human Resources • Assessment & Workplace Training (included as part of BSB01) • Advertising • Marketing • Sales

Summary of qualifications in BSB01 Business Services Training Package

All the Australian Qualifications Framework (AQF) qualifications in BSB01 are listed below.

CERTIFICATE I
BSB10101 Certificate I in Business

CERTIFICATE II
BSB20101 Certificate II in Business

CERTIFICATE III
BSB30101 Certificate III in Business
BSA30200 Certificate III in Business (Legal Administration)
BSB30201 Certificate III in Business Administration
BSB30301 Certificate III in Business (Sales)
BSB30401 Certificate III in Business (Recordkeeping)
BSB30503 Certificate III in Business (Frontline Management)
BSB30601 Certificate III in e-Business
BSB30703 Certificate III in Business (Medical Administration)
BSB30803 Certificate III in Business (International Trade)

CERTIFICATE IV
BSB40101 Certificate IV in Business
BSB40201 Certificate IV in Business Administration
BSB40301 Certificate IV in Business (Recordkeeping)
BSB40401 Certificate IV in Business (Small Business Management)
BSB40501 Certificate IV in Business Development
BSB40601 Certificate IV in Business (Advertising)
BSB40701 Certificate IV in Business (Marketing)
BSB40801 Certificate IV in Business (Human Resources)
BSB40901 Certificate IV in Business (Governance)
BSB41003 Certificate IV in Business (Frontline Management)
BSB41101 Certificate IV in Business Management
BSA40200 Certificate IV in Business (Legal Services)
BSB41201 Certificate IV in e-Business
BSB41301 Certificate IV in e-Business Development
BSB41403 Certificate IV in Business (Purchasing)
BSB41503 Certificate IV in Project Management
BSB41703 Certificate IV in Business (Franchising)
BSB41803 Certificate IV in Unionism
BSB41903 Certificate IV in Business (Employment Services)
BSB42003 Certificate IV in Business (International Trade)
BSB41603 Certificate IV in Occupational Health and Safety

DIPLOMA
BSB50101 Diploma of Business
BSB50201 Diploma of Business Administration
BSB50301 Diploma of Business (Recordkeeping)
BSB50401 Diploma of Business Management
BSB50501 Diploma of Business Development
BSB50601 Diploma of Business (Advertising)
BSB50701 Diploma of Business (Marketing)
BSB50801 Diploma of Business (Human Resources)
BSB50901 Diploma of Business (Governance)
BSA50200 Diploma of Business (Legal Services)
BSB51003 Diploma of Business (Frontline Management)
BSB51101 Diploma of e-Business
BSB51201 Diploma of Strategic e-Business Development
BSB51301 Diploma of e-Learning
BSB51403 Diploma of Business (Purchasing)
BSB51503 Diploma of Project Management
BSB51703 Diploma of Business (Franchising)
BSB51803 Diploma of Unionism
BSB51903 Diploma of Business (Quality Auditing)
BSB51903 Diploma in International Business
BSB51603 Diploma of Occupational Health and Safety

ADVANCED DIPLOMA
BSB60101 Advanced Diploma of Business (Recordkeeping)
BSB60201 Advanced Diploma of Business Management
BSB60301 Advanced Diploma of Business (Human Resources)
BSB60401 Advanced Diploma of Business Development
BSB60501 Advanced Diploma of Business (Advertising)
BSB60601 Advanced Diploma of Business (Marketing)
BSB60701 Advanced Diploma of e-Business
BSB60801 Advanced Diploma of Strategic e-Business Development
BSB60903 Advanced Diploma of Project Management
BSB61003 Advanced Diploma of Occupational Health and Safety

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Units of competency in BSB01 Business Services Training Package

All the units of competency in BSB01 are listed below under fields and domains.

Note: Imported units are also shown in the lists below – either in the list relating to the specific domain, or in the list at the end titled 'Units imported from other Training Packages'. Where they are in the domain list they make up part of a specific qualification in that domain; where they are in the list of imported units, they can be selected according to the packaging advice in the Qualification Guide.

COMMON BUSINESS FIELD

Certificate I

BSBCMN101A	Prepare for work
BSBCMN102A	Complete daily work activities
BSBCMN103A	Apply basic communication skills
BSBCMN104A	Plan skills development
BSBCMN105A	Use business equipment
BSBCMN106A	Follow workplace safety procedures
BSBCMN107A	Operate a personal computer
BSBCMN108A	Develop keyboard skills
BSBCMN109A	Follow environmental work practices

Certificate II

BSBCMN201A	Work effectively in a business environment
BSBCMN202A	Organise and complete daily work activities
BSBCMN203A	Communicate in the workplace
BSBCMN204A	Work effectively with others
BSBCMN205A	Use business technology
BSBCMN206A	Process and maintain workplace information
BSBCMN207A	Prepare and process financial/business documents
BSBCMN208A	Deliver a service to customers
BSBCMN209A	Provide information to clients
BSBCMN210A	Implement improved work practices
BSBCMN211A	Participate in workplace safety procedures
BSBCMN212A	Handle mail
BSBCMN213A	Produce simple wordprocessed documents
BSBCMN214A	Create and use simple spreadsheets
BSBCMN215A	Participate in environmental work practices
BSBCMN216A	Create customer relationship
BSBCMN217A	Process customer feedback
BSBCMN218A	Apply basic first aid

Certificate III

BSBCMN301A	Exercise initiative in a business environment
BSBCMN302A	Organise personal work priorities and development
BSBCMN304A	Contribute to personal skill development and learning
BSBCMN305A	Organise workplace information
BSBCMN306A	Produce business documents
BSBCMN307A	Maintain business resources
BSBCMN308A	Maintain financial records
BSBCMN309A	Recommend products and services
BSBCMN310A	Deliver and monitor a service to customers
BSBCMN311A	Maintain workplace safety
BSBCMN312A	Support innovation and change
BSBCMN313A	Maintain environmental procedures
BSBCMN314A	Utilise a knowledge management system
BSBCMN315A	Work effectively with diversity
BSBCMN316A	Process customer complaints
BSBCMN317A	Meet customer needs and expectations
BSBCMN318A	Write simple documents
BSBCMN319A	Apply advanced first aid
BSBCMN320A	Maintain first aid equipment and resources

Certificate IV

BSBCMN402A	Develop work priorities
BSBCMN403A	Establish business networks
BSBCMN404A	Develop teams and individuals
BSBCMN405A	Analyse and present research information
BSBCMN406A	Maintain business technology
BSBCMN407A	Coordinate business resources
BSBCMN408A	Report on financial activity
BSBCMN409A	Promote products and services
BSBCMN410A	Coordinate implementation of customer service strategies
BSBCMN411A	Monitor a safe workplace
BSBCMN412A	Promote innovation and change
BSBCMN413A	Implement and monitor environmental policies
BSBCMN414A	Undertake marketing activities
BSBCMN415A	Manage first aid policy
BSBCMN416A	Identify risk and apply risk management processes
BSBCMN417A	Coordinate customer service activities
BSBCMN418A	Address customer needs
BSBCMN419A	Manage projects
BSBCMN420A	Write complex documents
BSBCMN421A	Assist with compliance with OHS and other relevant laws

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BUSINESS ADMINISTRATION SERVICES FIELD

SPECIALIST ADMINISTRATION

Certificate III

BSBADM301A	Produce texts from shorthand notes
BSBADM302A	Produce texts from notes
BSBADM303A	Produce texts from audio transcription
BSBADM304A	Design and develop text documents
BSBADM305A	Create and use databases
BSBADM306A	Create electronic presentations
BSBADM307A	Organise schedules
BSBADM308A	Process payroll
BSBADM309A	Process accounts payable and receivable
BSBADM310A	Maintain a general ledger

Certificate IV

BSBADM401A	Produce complex texts from shorthand notes
BSBADM402A	Produce complex business documents
BSBADM403A	Develop and use complex databases
BSBADM404A	Develop and use complex spreadsheets
BSBADM405A	Organise meetings
BSBADM406A	Organise business travel
BSBADM407A	Administer projects
BSBADM408A	Prepare financial reports

Diploma

BSBADM501A	Manage the establishment and maintenance of a workgroup network
BSBADM502A	Manage meetings
BSBADM503A	Plan and manage conferences
BSBADM504A	Plan or review administration systems
BSBADM505A	Manage payroll
BSBADM506A	Manage business document design and development

LEGAL SERVICES

Certificate III

BSALPP301A	Apply knowledge of the legal system to complete tasks
BSALPP302A	Carry out search of the public record
BSALPP303A	Deliver court documentation
BSACS301A	Apply the principles of confidentiality and security within the legal environment
BSALR301A	Handle receipt and despatch of information
BSALC301A	Use legal terminology in order to carry out tasks
BSALO301A	Assist in prioritising and planning activities in a legal practice
BSALF301A	Maintain records for time and disbursements in a legal practice

Certificate IV

BSALPP401A	Prepare and produce complex legal documents
BSACS401A	Provide non-legal advice
BSALC401A	Interact with other parties
BSALC402A	Research, locate and provide legal and other information in response to requests
BSALF401A	Maintain trust accounts
BSALPL401A	Provide support in Property Law matters
BSALPL402A	Provide support in Family Law matters
BSALPL403A	Provide support in Criminal Law matters
BSALPL404A	Provide support in Commercial Law matters
FNAMERC03B	Serve legal process
BSALLG401A	Arrange documents and list exhibits for litigation support
206/01	Take instructions in relation to a transaction
206/05	Prepare and execute documents
CHCAD2A	Support the interests, rights and needs of clients within duty of care requirements
CHCCD7A	Support community resources
CHCCD3A	Meet information needs of the community
CHCCD1A	Support community participation

Diploma

BSALC501A	Run a file
BSALO501A	Perform legal research and prepare reports to meet identified needs
BSALPP501A	Obtain information from a client
BSALPP502A	Draft legally binding documents
BSALLG501A	Assist with the discovery process
BSALLG502A	Appear in court
BSALLG503A	Attend pre-trial negotiations
BSALPL501A	Cost complex files
BSALPL502A	Administer in-house mortgage practice
206/04	Negotiate with others to achieve tasks and goals
206/09	Finalise transaction
CHCCD8A	Support community action
CHCCD13A	Work within specific communities
CHCCD11A	Provide advocacy and representation

PURCHASING

Certificate III

BSBPUR301A	Purchase goods and services

Certificate IV

BSBPUR401A	Plan purchasing
BSBPUR402A	Negotiate contracts
BSBPUR403A	Conduct international purchasing

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Diploma	
BSBPUR501A	Develop, implement and review purchasing strategies
BSBPUR502A	Manage supplier relationships
BSBPUR503A	Manage international purchasing
BSBPUR504A	Manage a supply chain

MEDICAL ADMINISTRATION

Certificate II	
BSBMED201A	Use basic medical terminology
BSBMED202A	Follow OHS policies and procedures in medical office

Certificate III	
BSBMED301A	Use advanced medical terminology
BSBMED302A	Prepare and process medical accounts
BSBMED303A	Maintain patient records
BSBMED304A	Assist in controlling stocks and supplies
BSBMED305A	Apply the principles of confidentiality, privacy and security within the medical environment

Certificate IV	
BSBMED401A	Manage patient record-keeping system
BSBMED402A	Control stocks and supplies

BUSINESS INFORMATION SERVICES FIELD

RECORDKEEPING

Certificate III	
BSBRKG301A	Control records
BSBRKG302A	Undertake disposal
BSBRKG303A	Retrieve information from records
BSBRKG304A	Maintain business records

Certificate IV	
BSBRKG401A	Review the status of a record
BSBRKG402A	Provide information from and about records
BSBRKG403A	Set up a business or records system for a small office
BSBEBUS406A	Monitor and maintain records in an online environment

Diploma	
BSBRKG501A	Determine business or records system specifications
BSBRKG502A	Manage and monitor business or records systems
BSBRKG503A	Develop and maintain a classification scheme
BSBRKG504A	Develop terminology for activities and records
BSBRKG505A	Document or reconstruct a business or records system

Advanced Diploma	
BSBRKG601A	Define recordkeeping framework
BSBRKG602A	Develop recordkeeping policy
BSBRKG603A	Prepare a functional analysis for an organisation
BSBRKG604A	Determine security and access rules and procedures
BSBRKG605A	Determine records requirements to document a function
BSBRKG606A	Design a records retention and disposal schedule
BSBRKG607A	Document and monitor the record-creating context
BSBRKG608A	Plan management of records over time

BUSINESS MANAGEMENT SERVICES FIELD

SMALL BUSINESS MANAGEMENT

Certificate III	
BSBSBM301A	Research business opportunities

Certificate IV	
BSBSBM401A	Establish business and legal requirements
BSBSBM402A	Undertake financial planning
BSBSBM403A	Promote the business
BSBSBM404A	Undertake business planning
BSBSBM405A	Monitor and manage business operations
BSBSBM406A	Manage finances
BSBSBM407A	Manage a small team

FRONTLINE MANAGEMENT

Certificate III	
BSBFLM303B	Contribute to effective workplace relationships
BSBFLM305B	Support operational plan
BSBFLM306B	Provide workplace information and resourcing plans
BSBFLM309B	Support continuous improvement systems and processes
BSBFLM311B	Support a workplace learning environment
BSBFLM312A	Contribute to team effectiveness

Certificate IV	
BSBFLM403B	Implement effective workplace relationships
BSBFLM405B	Implement operational plan
BSBFLM406B	Implement workplace information system
BSBFLM409B	Implement continuous improvement
BSBFLM412A	Promote team effectiveness

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Diploma

BSBFLM501B	Manage personal work priorities and professional development
BSBFLM503B	Manage effective workplace relationships
BSBFLM505B	Manage operational plan
BSBFLM506B	Manage workplace information systems
BSBFLM507B	Manage quality customer service
BSBFLM509B	Facilitate continuous improvement
BSBFLM510B	Facilitate and capitalise on change and innovation
BSBFLM511B	Develop a workplace learning environment
BSBFLM512A	Ensure team effectiveness
BSBFLM513A	Manage budgets and financial plans within the work team
BSBFLM514A	Manage people

GOVERNANCE (INDIGENOUS ORGANISATIONS)

Certificate IV

BSBATSIL401A	Meet the roles and responsibilities of a Board member (1)
BSBATSIL402A	Use the constitution
BSBATSIC403A	Maintain and protect culture
BSBATSIM404A	Use the business plan
BSBATSIM405A	Monitor financial management and budgets
BSBATSIM406A	Manage assets
BSBATSIM407A	Plan for organisational needs
BSBATSIL408A	Manage a Board meeting
BSBATSIL409A	Manage time
BSBATSIL410A	Manage stress
BSBATSIC411A	Communicate with the community
BSBATSIM412A	Implement a business-like approach
BSBATSIM413A	Oversee business planning
BSBATSIM414A	Oversee the organisation's annual budget
BSBATSIM415A	Contribute to a positive and culturally appropriate workplace
BSBATSIW416A	Obtain and manage consultancy services
BSBATSIW417A	Select and utilise technology

Diploma

BSBATSIL501A	Meet the roles and responsibilities of a Board member (2)
BSBATSIL502A	Work with the manager
BSBATSIL503A	Manage conflict
BSBATSIM504A	Develop and implement organisational policies
BSBATSIM505A	Control organisation finances
BSBATSIM506A	Develop employment policies
BSBATSIM507A	Establish and maintain a strategic planning cycle
BSBATSIL508A	Be a community leader
BSBATSIL509A	Manage self as a Board member
BSBATSIC510A	Conduct a community meeting
BSBATSIM511A	Develop enterprise opportunities
BSBATSIM512A	Manage board competencies
BSBATSIM513A	Oversee recruitment and induction of staff
BSBATSIW514A	Represent your organisation
BSBATSIW515A	Secure funding

STRATEGIC MANAGEMENT

Diploma

BSBMGT501A	Market services and concepts to internal customers
BSBMGT502A	Manage people performance
BSBMGT503A	Prepare budgets and financial plans
BSBMGT504A	Manage budgets and financial plans
BSBMGT505A	Ensure a safe workplace
BSBMGT506A	Recruit, select and induct staff
BSBMGT507A	Manage environmental performance
BSBMGT508A	Manage risk management system
BSBMGT509A	Manage a knowledge management system
BSBMGT510A	Determine needs of customer populations
BSBMGT511A	Develop a business opportunity
BSBMGT512A	Manage relationships in a family business
BSBMGT513A	Plan for family business succession
BSBMGT514A	Plan and manage growth in a family business

Advanced Diploma

BSBMGT601A	Contribute to strategic direction
BSBMGT602A	Contribute to the development and implementation of strategic plans
BSBMGT603A	Review and develop business plans
BSBMGT604A	Manage business operations
BSBMGT605A	Provide leadership across the organisation
BSBMGT606A	Manage customer focus
BSBMGT607A	Manage knowledge and information
BSBMGT608A	Manage innovation and continuous improvement
BSBMGT609A	Manage risk
BSBMGT610A	Manage environmental management systems
BSBMGT611A	Develop risk management strategy
BSBMGT612A	Plan and implement a knowledge management system
BSBMGT613A	Review and improve a knowledge management system
BSBMGT614A	Develop and implement diversity policy

PROJECT MANAGEMENT

Certificate IV

BSBPM401A	Apply scope management techniques
BSBPM402A	Apply time management techniques
BSBPM403A	Apply cost management techniques
BSBPM404A	Apply quality management techniques

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BSBPM405A	Apply human resource management approaches
BSBPM406A	Apply communications management techniques
BSBPM407A	Apply risk management techniques
BSBPM408A	Apply contract procurement techniques

Diploma

BSBPM501A	Manage application of project integrative processes
BSBPM502A	Manage project scope
BSBPM503A	Manage project time
BSBPM504A	Manage project costs
BSBPM505A	Manage project quality
BSBPM506A	Manage project human resources
BSBPM507A	Manage project communications
BSBPM508A	Manage project risk
BSBPM509A	Manage project procurement

Advanced Diploma

BSBPM601A	Direct the integration of multiple projects/programs
BSBPM602A	Direct the scope of multiple projects/programs
BSBPM603A	Direct time management of multiple projects/programs
BSBPM604A	Direct cost management of multiple projects/programs
BSBPM605A	Direct quality management of multiple projects/programs
BSBPM606A	Direct human resources management of multiple projects/programs
BSBPM607A	Direct communications management of multiple projects/programs
BSBPM608A	Direct risk management of multiple projects/programs
BSBPM609A	Direct project procurement and contracts of multiple projects/programs

FRANCHISING

Certificate III

BSBFRA301A	Work within a franchise

Certificate IV

BSBFRA401A	Manage compliance with franchisee obligations and legislative requirements
BSBFRA402A	Establish a franchise
BSBFRA403A	Manage relationship with franchisor
BSBFRA404A	Manage a multiple site franchise

Diploma

BSBFRA501A	Establish a franchise operation
BSBFRA502A	Manage a franchise operation
BSBFRA503A	Manage establishment of new sites or regions
BSBFRA504A	Manage relationships with franchisees
BSBFRA505A	Manage closure of a franchise

QUALITY AUDITING

Certificate IV

BSBAUD401A	Prepare for a quality audit
BSBAUD402A	Participate in a quality audit

Diploma

BSBAUD501A	Initiate a quality audit
BSBAUD502A	Prepare to lead a quality audit
BSBAUD503A	Lead a quality audit
BSBAUD504A	Report on a quality audit

OHS

Certificate IV

BSBOHS401A	Contribute to the implementation of a systematic approach to managing OHS
BSBOHS402A	Contribute to the implementation of the OHS consultation process
BSBOHS403A	Identify hazards and assess OHS risks
BSBOHS404A	Contribute to the implementation of strategies to control OHS risk
BSBOHS405A	Contribute to the implementation of emergency procedures
BSBOHS406A	Use equipment to conduct workplace monitoring

Diploma

BSBOHS501A	Participate in the coordination and maintenance of a systematic approach to managing OHS
BSBOHS502A	Participate in the management of the OHS information and data systems
BSBOHS503A	Assist in the design and development of OHS participative arrangements
BSBOHS504A	Apply principles of OHS risk management
BSBOHS505A	Manage hazards in the work environment
BSBOHS506A	Monitor and facilitate the management of hazards associated with plant
BSBOHS507A	Facilitate the application of principles of occupational health to control OHS risk
BSBOHS508A	Participate in the investigation of incidents

Advanced Diploma

BSBOHS601A	Develop a systematic approach to managing OHS
BSBOHS602A	Develop OHS information and data analysis and reporting and recording processes
BSBOHS603A	Analyse and evaluate OHS risk
BSBOHS604A	Apply ergonomic principles to control OHS risk

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BSBOHS605A	Apply occupational hygiene principles to control OHS risk
BSBOHS606A	Develop and implement crisis management processes
BSBOHS607A	Advise on application of safe design principles to control OHS risk
BSBOHS608A	Conduct an OHS audit
BSBOHS609A	Evaluate an organisation's OHS performance

COMPLIANCE MANAGEMENT

Certificate IV

BSBCOM401A	Organise and monitor the operation of compliance management system
BSBCOM402A	Implement processes for the management of breaches in compliance requirements
BSBCOM403A	Promote and liaise on compliance requirements, systems and related issues

Diploma

BSBCOM501A	Identify and interpret compliance requirements
BSBCOM502A	Evaluate and review compliance
BSBCOM503A	Develop processes for the management of breaches in compliance requirements
BSBCOM504A	Create a culture of compliance within an organisation

Advanced Diploma

BSBCOM601A	Research compliance requirements and issues
BSBCOM602A	Develop and create compliance requirements
BSBCOM603A	Plan and establish compliance management systems

HUMAN RESOURCES MANAGEMENT FIELD

HUMAN RESOURCES

Certificate IV

BSBHR401A	Administer human resource systems
BSBHR402A	Recruit and select personnel
BSBHR403A	Process human resource documents and inquiries
BSBHR404A	Co-ordinate human resource services
BSBHR405A	Implement industrial relations procedures

Diploma

BSBHR501A	Manage human resource consultancy services
BSBHR502A	Manage human resource management information systems
BSBHR503A	Manage performance management systems
BSBHR504A	Manage industrial relations policies and processes
BSBHR505A	Manage remuneration and employee benefits
BSBHR506A	Manage recruitment selection and induction processes
BSBHR507A	Manage separation/termination
BSBHR508A	Manage work/life skills
BSBHR509A	Manage rehabilitation/return to work programs
BSBHR510A	Plan mediation processes
BSBHR511A	Implement mediation processes
BSBHR512A	Manage industrial relations initiatives
BSBHR513A	Manage industrial relations disputes

Advanced Diploma

BSBHR601A	Manage change
BSBHR602A	Manage human resource strategic planning
BSBHR603A	Contribute to organisation development
BSBHR604A	Manage employee relations
BSBHR605A	Contribute to organisation design

ASSESSMENT AND WORKPLACE TRAINING

Certificate IV

BSZ401A	Plan assessment
BSZ402A	Conduct assessment
BSZ403A	Review assessment
BSZ404A	Train small groups
BSZ405A	Plan and promote a training program
BSZ406A	Plan a series of training sessions
BSZ407A	Deliver training sessions
BSZ408A	Review training

Diploma

BSZ501A	Analyse competency requirements
BSZ502A	Design and establish the training system
BSZ503A	Design and establish the assessment system
BSZ504A	Manage the training and assessment system
BSZ505A	Evaluate the training and assessment system
BSZ506A	Develop assessment procedures
BSZ507A	Develop assessment tools
BSZ508A	Design training courses

UNIONISM

Certificate IV

BSBUN401A	Develop and implement an organising plan
BSBUN402A	Empower members
BSBUN403A	Communicate with workers

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BSBUN404A	Promote equality of opportunity and fair treatment for all members
BSBUN405A	Promote the values, principles and policies of the union
BSBUN406A	Undertake bargaining
BSBUN407A	Provide advice to union members and undertake negotiations
BSBUN408A	Prepare cases for the union
BSBUN409A	Appear before tribunals and represent members

Diploma

BSBUN501A	Develop, manage and review campaigns and projects
BSBUN502A	Represent the union in key forums
BSBUN503A	Coordinate case preparation and research
BSBUN504A	Advocate and present cases for members
BSBUN505A	Develop, implement and manage union policy
BSBUN506A	Coordinate research and analysis

EMPLOYMENT SERVICES

Certificate IV

BSBEMS401A	Develop and implement business development strategies to expand client base
BSBEMS402A	Develop and implement strategies to source and assess candidates
BSBEMS403A	Develop and provide employment management services to candidates
BSBEMS404A	Manage the recruitment process for client organisations

BUSINESS DEVELOPMENT FIELD

ADVERTISING

Certificate IV

BSBADV401A	Profile a target audience
BSBADV402A	Conduct pre-campaign testing
BSBADV403A	Monitor advertising production
BSBADV404A	Schedule advertisements

Diploma

BSBADV501A	Develop a creative concept
BSBADV502A	Write persuasive copy
BSBADV503A	Coordinate advertising research
BSBADV504A	Create advertisements
BSBADV505A	Evaluate and recommend 'above the line' media options
BSBADV506A	Evaluate and recommend 'below the line' media options
BSBADV507A	Develop a media plan
BSBADV508A	Present an advertising campaign

Advanced Diploma

BSBADV601A	Create an advertising brief
BSBADV602A	Develop an advertising campaign
BSBADV603A	Manage advertising production
BSBADV604A	Execute an advertising campaign
BSBADV605A	Evaluate campaign effectiveness

MARKETING

Certificate III

BSBMKG301A	Research the market
BSBMKG302A	Identify marketing opportunities
BSBMKG303A	Draft an elementary marketing audit report
BSBMKG304A	Assist with market research

Certificate IV

BSBMKG401A	Profile the market
BSBMKG402A	Analyse consumer behaviour for specific markets
BSBMKG403A	Analyse market data
BSBMKG404A	Forecast market and business needs
BSBMKG405A	Implement and monitor marketing activities
BSBMKG406A	Build client relationships
BSBMKG407A	Make a presentation
BSBMKG408A	Conduct market research

Diploma

BSBMKG501A	Evaluate marketing opportunities
BSBMKG502A	Establish and adjust the marketing mix
BSBMKG503A	Develop a marketing communications plan
BSBMKG504A	Implement a marketing solution
BSBMKG505A	Review marketing performance
BSBMKG506A	Plan market research

Advanced Diploma

BSBMKG601A	Develop marketing strategies
BSBMKG602A	Develop a marketing plan
BSBMKG603A	Manage the marketing process
BSBMKG604A	Develop and manage direct marketing campaigns
BSBMKG605A	Evaluate international marketing opportunities
BSBMKG606A	Manage international marketing programs
BSBMKG607A	Manage market research

SALES

Certificate III

BSBSLS301A	Develop product knowledge
BSBSLS302A	Identify sales prospects
BSBSLS303A	Present a sales solution
BSBSLS304A	Secure prospect commitment
BSBSLS305A	Support post-sale activities
BSBSLS306A	Self-manage sales performance

Certificate IV

BSBSLS401A	Lead a sales team

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E-BUSINESS FIELD

e-BUSINESS

Certificate III

BSBEBUS301A	Search and assess online business information
BSBEBUS302A	Use and maintain electronic mail system
BSBEBUS303A	Participate in a virtual community
BSBEBUS304A	Buy online
BSBEBUS305A	Sell online
BSBEBUS306A	Make payments online
BSBEBUS307A	Bank online
BSBEBUS308A	Maintain online business records
BSBEBUS309A	Undertake e-learning
BSBEBUS310A	Work effectively as an off-site e-worker

Certificate IV

BSBEBUS401A	Conduct online research
BSBEBUS402A	Implement e-correspondence policies
BSBEBUS403A	Communicate electronically
BSBEBUS404A	Trade online
BSBEBUS405A	Conduct online financial transactions
BSBEBUS406A	Monitor and maintain records in an online environment
BSBEBUS407A	Review and maintain the business aspects of a website
BSBEBUS408A	Implement and monitor delivery of quality customer service online
BSBEBUS409A	Lead and facilitate e-staff

Diploma

BSBEBUS501A	Evaluate e-business opportunities
BSBEBUS502A	Evaluate e-business models
BSBEBUS503A	Design an e-business
BSBEBUS504A	implement an e-business strategy
BSBEBUS505A	Implement new technologies for business
BSBEBUS506A	Plan and develop a business website
BSBEBUS507A	Manage the business aspects of a website
BSBEBUS508A	Build a virtual community
BSBEBUS509A	Implement e-business outsourcing arrangements
BSBEBUS510A	Manage e-business outsourcing
BSBEBUS511A	Implement a knowledge management strategy for an e-business
BSBEBUS512A	Implement electronic communication policy
BSBEBUS513A	Plan e-learning
BSBEBUS514A	Implement e-learning
BSBEBUS515A	Facilitate e-learning
BSBEBUS516A	Manage online purchasing
BSBEBUS517A	Manage online inventory
BSBEBUS518A	Manage an e-business supply chain
BSBEBUS519A	Manage online sales systems
BSBEBUS520A	Manage online payments systems
BSBEBUS521A	Plan e-marketing communications
BSBEBUS522A	Conduct e-marketing communications
BSBEBUS523A	Investigate and plan e-work business solutions
BSBEBUS524A	Implement and manage e-working arrangements

Advanced Diploma

BSBEBUS601A	Develop an e-business strategy
BSBEBUS602A	Develop an action plan for an e-business strategy
BSBEBUS603A	Evaluate new technologies for business
BSBEBUS604A	Develop a business website strategy
BSBEBUS605A	Identify and implement e-business innovation
BSBEBUS606A	Manage e-business risk
BSBEBUS607A	Develop e-business outsourcing policy and guidelines
BSBEBUS608A	Develop and implement online information policy
BSBEBUS609A	Develop a knowledge management strategy for an e-business
BSBEBUS610A	Develop electronic communication policy
BSBEBUS611A	Develop and implement e-business human resource management policy and practices
BSBEBUS612A	Develop and implement e-work policy and guidelines
BSBEBUS613A	Develop online customer service strategies
BSBEBUS614A	Build online customer loyalty
BSBEBUS615A	Use online systems to support managerial decision-making
BSBEBUS616A	Plan an e-business supply chain

INTERNATIONAL SERVICES FIELD

INTERNATIONAL TRADE / BUSINESS

Certificate III

BSBINT301A	Apply knowledge of the international trade environment to complete work
BSBINT302A	Apply knowledge of legislation relevant to international trade to complete work
BSBINT303A	Organise the importing and exporting of goods
BSBINT304A	Assist in the international transfer of services
BSBINT305A	Prepare business documents for the international trade of goods
BSBINT306A	Apply knowledge of international finance and insurance to complete work requirements

Certificate IV

BSBINT401A	Research international business opportunities
BSBINT402A	Market goods and services internationally

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BSBINT403A	Research international markets
BSBINT404A	Implement international client relationship strategies
BSBINT405A	Apply knowledge of import and export international conventions, laws and finance
BSBINT406A	Promote compliance with legislation
BSBINT407A	Prepare business advice on export Free on Board Value
BSBINT408A	Prepare business advice on the taxes and duties for international trade transactions
BSBINT409A	Plan for international trade

Diploma

BSBINT501A	Profile international markets
BSBINT502A	Analyse consumer behaviour for specific international markets
BSBINT503A	Analyse data from international markets
BSBINT504A	Forecast international market and business needs
BSBINT505A	Build international client relationships
BSBINT506A	Build international business networks
BSBINT507A	Report on finances related to international business
BSBINT508A	Promote products and services to international markets

IMPORTED UNITS FOR THE E-BUSINESS BLENDED QUALIFICATIONS

ICAITAD043A	Develop and present a feasibility report
ICAITAD051B	Develop client user interface
ICAITAD052B	Design IT security framework
ICAITAD053B	Design system security and controls
ICAITAD054B	Validate quality and completeness of design
ICAITAD138A	Determine acceptable solution providers for e-business projects
ICAITAD141A	Design dynamic websites to meet technical requirements
ICAITAD146A	Develop web site information architecture
ICAITAD147A	Determine that data base functionality and scalability suits business requirements
ICAITAD148A	Identify new technology models for e-business
ICAITAD149A	Implement quality assurance process for e-commerce solutions
ICAITAD150A	Evaluate vendor products and equipment
ICAITAD151A	Gather data to identify business requirements
ICAITAD152A	Implement risk management processes
ICAITAD156A	Review and plan for risk to e-commerce solution providers
ICAITAD157A	Develop technical requirements for an e-commerce solution
ICAITAD158A	Translate the business needs into technical requirements
ICAITB059A	Develop detailed technical design
ICAITB073B	Pilot the developed system
ICAITB074B	Monitor the system pilot
ICAITD208A	Writing for the World Wide Web
ICAITS108B	Complete database backup and recovery
ICAITS116A	Undertake capacity planning
ICAITS119B	Monitor and administer system security
ICAITS191A	Maintain web site performance
ICAITS194A	Ensure basic web site security
ICAITS199A	Manage E-commerce websites
ICAITS200A	Monitor traffic and compile specified site traffic reports
ICAITS202A	Ensure privacy for users
ICAITS203A	Choose a web hosting service
ICAITSP039B	Match the IT needs with the strategic direction of the enterprise
ICAITSP040A	Manage and review contracts
ICAITT183A	Confirm accessibility of web site design
ICAITT184A	Ensure site usability
ICAITTW214A	Maintain ethical conduct
ICAITU127B	Support system software
ICAITU205A	Select and employ software and hardware multimedia tools
CUFIMA01A	Produce and manipulate digital images
CUFIMA04A	Create 3D digital animation
CUFIMA05A	Create 3D digital models and images
CUFMEM06A	Design a multimedia product
CUFMEM07A	Apply principles of visual design and communication to the development of a multimedia product
CUFMEM08A	Apply principles of instructional design to a multimedia product
CUFMEM10A	Design and create a multimedia interface
CUFMEM11A	Design the navigation for a multimedia product
CULLB412A	Undertake cataloguing activities

UNITS IMPORTED FROM OTHER TRAINING PACKAGES (SEE NOTE AT TOP OF TABLE ON PAGE 14)

Diversity

THHGLE09B	Manage workplace diversity

Employment Services

CHCAD1A	Advocate for clients
CHCCS1A	Deliver and monitor service to clients
CHCCS401A	Facilitate cooperative behaviour
CHCES302A	Work with government in a purchaser provider relationship
CHCES304A	Deliver recruitment services
CHCES305A	Monitor New Apprenticeships support services

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CHCES303A	Work within a legal and ethical framework
CHCES402A	Deliver New Apprenticeship support services
CHCES301A	Work in Employment Services area
CHCCAR501A	Provide careers guidance
CHCES303A	Use labour market information
CHCCM2A	Establish and monitor a case plan
CHCES406A	Provide job search support
CHCCM4A	Promote high quality case management
CHCORG29A	Provide coaching and motivation
CHCCS2A	Develop and deliver client service
CHCCD12B	Apply a community development framework
CHCCS3B	Coordinate the provision of services and programs
CHCCS402A	Respond holistically to client issues
CHCCS5A	Identify and address specific client issues
CHCCS405A	Work effectively with culturally diverse clients and co-workers
CHCES405A	Monitor service performance in a purchaser provider relationship with government
CHCDIS18A	Support people with disabilities as workers
CHCCS6A	Assess and deliver services to clients with complex needs
CHCDIS9B	Maximise participation in work by people with disabilities
CHCDIS8A	Work with clients intensively
CHCES502A	Research and report on labour market information
CHCES401A	Analyse and apply labour market information
CHCCS4A	Manage the delivery of quality client service
CHCES403A	Develop and monitor employment plans
CHCDIS11A	Coordinate disability work
CHCES404A	Promote clients to employers
CHCES501A	Manage service delivery in a purchaser-provider relationship with government
PSPGOV603A	Develop a tender submission

Purchasing

LGACOM409A	Prepare tender documents
PSPPROC602A	Direct management of contracts
PSPPROC702A	Establish the procurement context

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Structure of BSB01 Volumes

VOLUME 1	VOLUME 2A	VOLUME 2B	VOLUME 3	VOLUME 4A	VOLUME 4B	VOLUME 4C
Introduction Qualification Guide Assessment Guidelines	**Units of Competency** **Field:** BUSINESS ADMINISTRATION SERVICES **Domain:** Legal Services Medical Administration Purchasing	**Units of Competency** **Field:** BUSINESS ADMINISTRATION SERVICES **Domain:** Specialist Administration	**Units of Competency** **Field:** BUSINESS INFORMATION SERVICES **Domain:** Recordkeeping	**Units of Competency** **Field:** BUSINESS MANAGEMENT SERVICES **Domain:** Small Business Management Governance (Indigenous Organisations) Franchising Quality Auditing	**Units of Competency** **Field:** BUSINESS MANAGEMENT SERVICES **Domain:** Project Management	**Units of Competency** **Field:** BUSINESS MANAGEMENT SERVICES **Domain:** Strategic Management Frontline Management
Units of Competency **Field:** COMMON BUSINESS **Domain:** Common	**VOLUME 4D** **Units of Competency** **Field:** BUSINESS MANAGEMENT SERVICES **Domain:** Occupational Health & Safety Compliance Management	**VOLUME 5A** **Units of Competency** **Field:** HUMAN RESOURCE MANAGEMENT **Domain:** Human Resources Employment Services Unionism	**VOLUME 5B** **Units of Competency** **Field:** HUMAN RESOURCE MANAGEMENT **Domain:** Assessment and Workplace Training *[This domain will be replaced after the Training And Assessment Training Package is endorsed]*	**VOLUME 6** **Units of Competency** **Field:** E-BUSINESS **Domain:** E-Business	**VOLUME 7** **Units of Competency** **Field:** BUSINESS DEVELOPMENT **Domain:** Advertising Sales Marketing	**VOLUME 8** **Units of Competency** **Field:** INTERNATIONAL SERVICES **Domain:** International Trade International Business

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Competency Standards

The broad concept of industry competency concerns the ability to perform particular tasks and duties to the standard of performance expected in the workplace. Competency requires the application of specified skills, knowledge and attitudes relevant to effective participation in an industry, industry sector or enterprise.

Competency covers all aspects of workplace performance and involves performing individual tasks; managing a range of different tasks; responding to contingencies or breakdowns; and, dealing with the responsibilities of the workplace, including working with others. Workplace competency requires the ability to apply relevant skills, knowledge and attitudes consistently over time and in the required workplace situations and environments. In line with this concept of competency Training Packages focus on what is expected of a competent individual in the workplace as an outcome of learning, rather than focussing on the learning process itself.

Competency standards in industry Training Packages are determined by industry to meet identified industry skill needs. Competency standards are made up of a number of units of competency each of which describes a key function or role in a particular job function or occupation. Each unit of competency within a Training Package is linked to one or more AQF qualifications.

Contextualisation of Units of Competency by RTOs

Registered Training Organisation (RTOs) may contextualise units of competency to reflect local outcomes required. Contextualisation could involve additions or amendments to the unit of competency to suit particular delivery methods, learner profiles, specific enterprise equipment requirements, or to otherwise meet local needs. However, the integrity of the overall intended outcome of the unit of competency must be maintained.

Any contextualisation of units of competency in this endorsed Training Package must be within the bounds of the following advice. In contextualising units of competency, RTOs:

- must not remove or add to the number and content of elements and performance criteria
- may add specific industry terminology to performance criteria where this does not distort or narrow the competency outcomes
- may make amendments and additions to the range statement as long as such changes do not diminish the breadth of application of the competency and reduce its portability, and/or
- may add detail to the evidence guide in areas such as the critical aspects of evidence or resources and infrastructure required where these expand the breadth of the competency but do not limit its use.

Components of Units of Competency

The components of units of competency are summarised below, in the order in which they appear in each unit of competency.

Unit Title

The unit title is a succinct statement of the outcome of the specific unit of competency. Each unit of competency title is unique, both within and across Training Packages.

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Unit Descriptor

The unit descriptor broadly communicates the purpose of the unit of competency and the skill area it addresses. Where units of competency have been contextualised from units of competency from other endorsed Training Packages, summary information about the relationship of the units of competency is provided in the unit descriptor.

Competency Field (Optional)

The competency field either reflects the way the units of competency are categorised in the Training Package or denotes the industry sector, specialisation or function. It is an optional component of the unit of competency.

Application of the Competency

The application of the competency fleshes out the scope, purpose and operation of the unit of competency in different contexts, for example its application in the workplace.

Elements of Competency

The elements of competency are the basic building blocks of the unit of competency. They describe in terms of outcomes the significant functions and tasks that make up the competency.

Performance Criteria

The performance criteria specify the required performance in relevant tasks, roles, skills and in the applied knowledge that enables competent performance.

Range Statement

The range statement provides a context for the unit of competency, describing any variables that may apply in workplace situations.

Evidence Guide

The evidence guide is critical in assessment as it provides information to the Registered Training Organisation (RTO) and assessor about how the described competency may be demonstrated. The evidence guide does this by providing a range of evidence for the assessor to make determinations, and by providing the assessment context. The evidence guide describes:

- conditions under which competency must be assessed including variables such as the assessment environment or necessary equipment
- relationships with the assessment of any other units of competency
- suitable methodologies for conducting assessment including the potential for workplace simulation
- resource implications, for example access to particular equipment, infrastructure or situations
- how consistency in performance can be assessed over time, various contexts and with a range of evidence, and
- the required underpinning knowledge and skills

Key Competencies

All Training Packages require the integration of Key Competencies either in each unit of competency, or across a qualification, depending on industry needs and preferences.

The Key Competencies were first defined in 1992 in the project report, *Putting General Education to Work: The Key Competencies Report (Mayer Committee 1992).* The skills and

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knowledge they describe are essential for effective workplace participation and involve the sorts of capabilities commonly used by employers as selection criteria. They underpin the ability of employees to adapt to technological, organisational, societal and functional change.

The Key Competencies are generic, in that they apply to work in general, rather than to particular occupations or industries. They focus on the application of knowledge and skills in an integrated way in workplace situations. The seven Key Competencies are:

1 Collecting, analysing and organising information
The capacity to locate, sift and sort information in order to select what is required and to present it in a useful way, and evaluate both the information itself and the sources and methods used to collect it.

2 Communicating ideas and information
The capacity to communicate effectively with others using the range of spoken, written, graphic and other non-verbal means of expression.

3 Planning and organising activities
The capacity to plan and organise one's own work activities, including making good use of time and resources, sorting out priorities and monitoring one's performance.

4 Working with others in teams
The capacity to interact effectively with other people both on a one-to-one basis and in groups, including understanding and responding to the needs of a client and working effectively as a member of a team to achieve a shared goal.

5 Solving problems
The capacity to apply problem-solving strategies in purposeful ways, both in situations where the problem and the solution are clearly evident and in situations requiring creative thinking and a creative approach to achieve a desired outcome.

6 Using mathematical ideas and techniques
The capacity to use mathematical ideas, such as number and space, and techniques such as estimation and approximation, for practical purposes.

7 Using technology
The capacity to apply technology, combining the physical and sensory skills needed to operate equipment with the understanding of scientific and technological principles needed to explore and adapt systems.

Performance Levels

There are three levels of performance defined within the Key Competencies. These are stand-alone levels and do not correspond to the AQF qualification levels.

- **Performance Level 1** is concerned with the level of competence needed to undertake activities efficiently with sufficient self-management to meet the explicit requirements of the activity, and to make judgements about the quality of outcomes against established criteria.

- **Performance Level 2** describes the competence needed to manage activities requiring the selection, application and integration of a number of elements, and to select from established criteria to judge quality of process and outcome.

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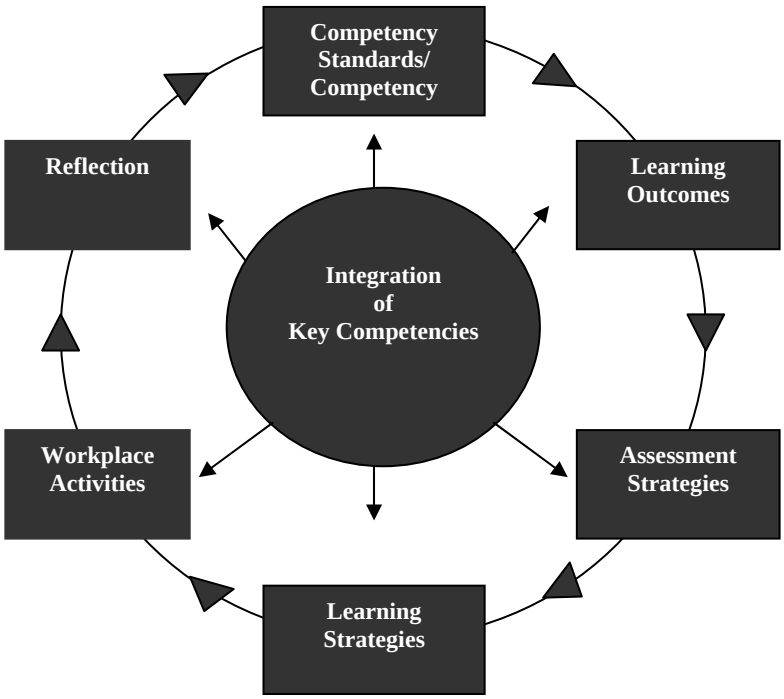
- **Performance Level 3** describes the competence needed to evaluate and reshape processes, to establish and use principles in order to determine appropriate ways of approaching activities, and to establish criteria for judging quality of process and outcome.

However, relating performance to the specific industry or workplace context may be more useful than interpreting the somewhat abstracted performance levels provided above. Where the Key Competencies are defined in the unit of competency, you will find them in a table, together with examples of their application, to help with assessment of their performance. Also, in evaluating the level of performance for the Key Competencies, consider the performance expectations at the AQF qualification level involved.

Delivery and Assessment of Key Competencies

The Key Competencies are integral to workplace competency, and, as such must be explicitly considered in the design, customisation, delivery and assessment of vocational education and training programs as represented diagrammatically below.



BSB01 Business Services Training Package

Project Management Competency Standards

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BSBPM401A Apply scope management techniques

Unit Descriptor

This unit specifies the outcomes required to contribute to the project's scope by assisting with the identification of objectives, deliverables, constraints, assumptions and outcomes; and by applying controls once the project has commenced.

Competency Field

Business management services

Domain

Project management

Application of the Competency

A project team member usually performs this function, under the direction of the project manager and working with other project team members.

The functions performed by a project team manager to manage the scope of the whole project are addressed in BSBPM502A Manage project scope.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Contribute to scope definition	1.1 Contribution is made to the identification of *project deliverables*
	1.2 Contribution is made to the identification of measurable outcomes to enable evaluation of project performance
	1.3 Contribution is made to the development of the *scope management plan*
2. Apply project scope controls	2.1 Work is undertaken in accordance with agreed project management plan and by using established *change control procedures* and *performance measurement procedures*
	2.2 Aspects of project scope are monitored and controlled and instances of non-compliance with overall scope are communicated to the project manager
	2.3 Progress is measured to determine potential, perceived and actual scope changes
	2.4 Scope changes are reported appropriately
	2.5 Assistance is provided in the review of project outcomes to determine the effectiveness of initial and subsequent scope management approaches

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Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Project deliverables may include:	• products and services defined within the project scope
Scope management plan may include:	• project objectives • deliverables, activities and tasks • constraints and assumptions • work organisation and/or product break-down structures • project benefits and outcomes
Change control procedures may include:	• identifying designated elements of the project liable to change, for example finance and duration of tasks • adjusting designated project documentation, for example plans, schedules, directives, guidelines and instructions which include change instructions, change request procedures and nominated change authorities
Performance measurement procedures may include:	• using tools and techniques to manage and measure project progress in terms of time and resources

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

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Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that they have contributed to the management of the scope of the project. This will include evidence of working with others to define and document the scope, including the planned outcomes of the project; working within the project plan and tracking the monitoring and controlling of the project with respect to the scope of the project; and applying scope controls within the project, as required. This contribution may be within own area of expertise or across several aspects of the project.

Specific Evidence Requirements

Required knowledge and understanding include:

- project management methodology
- the need for scope definition during project start-up
- the importance of, and techniques related to, task definition
- the place of scope management in the context of the project life cycle
- an understanding of scope change control procedures
- methods to define products and activities, for example a simple work breakdown structure

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities
- planning
- monitoring and tracking
- teamwork and communication skills
- attributes:
- attention to detail
- accuracy
- critical thinking

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit

Communicating ideas and information (2)	• communicating as part of a team, including negotiating and developing reports • communicating verbally, including making presentations, if required, and participating in meetings, questioning and discussions

Collecting, analysing and organising information (2)	• tracking, monitoring and controlling scope of project • applying relevant skills associated with reviewing project
Planning and organising activities (2)	• planning work and project tasks for self and with others
Working in a team (2)	• working with others, including external parties/clients and project team manager
Using mathematical ideas and techniques (1)	• using calculation skills associated with data manipulation involved in project
Solving problems (2)	• applying problem-solving skills to address problems arising with project scope
Using technology (2)	• using word processing packages to produce written plans, scope definitions, reports of project activities, and in communication with stakeholders • using assistive technology, if required
Innovation skills (–)	• not applicable
Products that could be used as evidence include:	• scope definition document as basis of initial project approval (may be called 'project proposal' or similar title) • lists of project objectives, deliverables, constraints, assumptions and outcomes • task definition or work break-down structure • progress and performance measurement reports • scope change proposals • project reviews • records of major scope issues
Processes that could be used as evidence include:	• how project scope was defined • how outcomes of project were determined • how requirements of project were determined • how own contribution to project was planned and implemented • how scope of project was tracked, monitored and controlled • how need for action in relation to project scope was identified and addressed • how projects were reviewed for compliance to scope and to scope change management
Resource implications for assessment include:	• access to workplace documentation

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Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • examples of projects where the candidate has contributed to planning or monitoring project scope (bearing in mind project team members may contribute to several projects simultaneously, and also may be a permanent team member for one project for an extended period)
Integrated competency assessment means:	• that this unit should be assessed with other project management units at Certificate IV, as applicable to candidate's role in the project

BSBPM402A Apply time management techniques

Unit Descriptor

This unit specifies the outcomes required to assist with scheduling activities associated with a project, to apply the agreed schedule and assist in monitoring it.

Competency Field

Business management services

Domain

Project management

Application of the Competency

A project team member usually performs this function under the overall direction of the project manager and working with other project team members. The functions performed by a project team manager to manage the time management for the whole project are addressed in BSBPM503A Manage project time.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Assist in the development of project schedules	1.1 Within *delegated authority*, contribution is made to determine the duration and effort, sequence and dependencies of tasks to meet project objectives
	1.2 *Project scheduling tools and techniques* are used to help establish and integrate planned time management aspects of the schedule, resource allocation and financial requirements
	1.3 Contribution is made to the agreement process and communication of the schedule to the client and other stakeholders
2. Apply agreed schedules	2.1 Techniques are used to measure, record and report progress of activities in relation to agreed schedules and plans
	2.2 Variance between actual and planned *progress* is recorded and reported to *others* for remedial action
	2.3 Contribution is made to forecasting the impact of changes on the schedule and analysis of options
	2.4 Agreed changes to the schedule are implemented and plans are updated as directed to accommodate changing situations throughout the project
3. Participate in assessing time management outcomes	3.1 Assistance is provided in the *review of project outcomes* to determine the effectiveness of time management tools, techniques and approaches used
	3.2 Scheduling and time management issues and responses are reported to project manager for application in future projects

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Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Delegated authority means:	• within established organisational framework, procedures and routines • under limited guidance and supervision • within agreed authorisation and limits • in a multi-disciplinary environment subject to frequent change
Project scheduling tools and techniques may include:	• using personal experience and/or experts • assisting in qualitative and/or quantitative time analysis, such as schedule simulation, decision analysis, contingency planning and alternative strategy development • using specialist time analysis tools to provide output to assist in the decision making process
Progress as recorded may include:	• lists of potential schedule events • diaries, incident logs, occurrence reports and other similar documentation • project and/or organisation files and records
Others may include:	• project manager • higher project authority • team members • project specialist or other personnel
Review of project outcomes may include:	• achievement of agreed major milestones, for example phases and sub-contracts • delivery of major deliverables • change of key personnel • finalisation of project and other agreed milestones

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Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that they have made contributions to the time management of projects. This will include evidence of working with others to determine schedules for the project and project components; monitoring the progress of the project against the agreed schedule; and reviewing time management as part of the review of the project on completion and closure. This contribution may be within own area of expertise or across several aspects of the project.

Specific Evidence Requirements

Required knowledge and understanding include:

- the need for time management within the broad project management framework
- the application of time management tools, techniques and approaches within the individual's area of expertise
- how, when and why schedule identification, monitoring and reporting processes are implemented
- the importance of the individual's contribution to the cost management process

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- time management skills
- planning
- monitoring and control
- teamwork and communication skills
- attributes:
- attention to detail
- accuracy

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Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit

Communicating ideas and information (2)	• communicating as part of a team, including negotiating and developing reports • communicating verbally, including making presentations, if required, and participating in meetings, questioning and discussions
Collecting, analysing and organising information (2)	• tracking and monitoring scheduling of project • applying relevant skills associated with reviewing project
Planning and organising activities (2)	• planning work and project tasks for self and with others
Working in a team (2)	• working with others including external parties/clients and project team manager
Using mathematical ideas and techniques (1)	• using calculation skills associated with data manipulation involved in project
Solving problems (2)	• applying problem-solving skills where required to address problems arising in managing time within projects
Using technology (2)	• using word processing packages to produce written correspondence and reports of project activities • using specific project management software tools • using assistive technology, if required
Innovation skills (–)	• not applicable

Products that could be used as evidence include:

- lists of project activities, including schedule, resource and cost estimates
- use of project scheduling tools and techniques
- records of progress and of deviations from the project schedule
- reports to project manager
- ongoing input to the project schedule

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	• contribution to project schedule review(s), including reports of lessons learned and recommendations
Processes that could be used as evidence include:	• how project schedule was defined • how agreement was reached on schedule • how project components were monitored with respect to time management • how problems/issues identified through time management processes were acted upon • how time management within projects was reviewed • how identified improvements in time management of projects were acted upon
Resource implications for assessment include:	• access to workplace documentation
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • examples of projects where the candidate has contributed to managing time within projects
Integrated competency assessment means:	• that this unit should be assessed with other project management units at Certificate IV, as applicable to the candidate's role in the project

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BSBPM403A Apply cost management techniques

Unit Descriptor

This unit specifies the outcomes required to work with others to produce a project budget, monitor project expenditure, and contribute to cost finalisation processes.

Competency Field

Business management services

Domain

Project management

Application of the Competency

A project team member usually performs this function under the overall management of the project manager and working with other project team members. The functions performed by a project team manager to manage costs for the whole project are addressed in BSBPM504A Manage project costs.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Assist with the development of the project budget	1.1 *Estimated costs* are determined for tasks and activities and communicated to *others* for inclusion in project budget
	1.2 Costs are mapped against duration/effort and resources allocated, and communicated to project manager for inclusion in the project plan, budget and expenditure flow
	1.3 Within *delegated authority*, contribution is made to the development of *cost management strategies and processes*, and financial authorisation
2. Monitor project costs	2.1 Income and expenditure are monitored against the agreed project plan and budgets to facilitate cost management throughout the project life cycle
	2.2 Established cost management methods, techniques and tools are used to identify and report variations in the budget to higher project authority for action
	2.3 Agreed actions are implemented and monitored, and progress is reported to others to ensure cost objectives are achieved throughout the project life cycle
3. Contribute to cost finalisation process	3.1 Assistance is provided in the finalisation and transfer of financial assets, liabilities and records to the client or relevant operational support agency

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3.2 Assistance is provided in the review of project outcomes by use of *project records* to determine the effectiveness of initial and subsequent cost management strategies and processes

3.3 Cost management issues and responses are reported to higher project authority for application in future projects

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Estimated costs may include*:*	• labour • project management overheads • facilities • travel and subsistence • contingency (as outcome of risk assessment) • material • application and registration fees for intellectual property (IP) and patents etc.
Others may include:	• project manager • higher project authority • team members • project specialists or other personnel
Delegated authority means:	• within established organisational framework, procedures and routines • conducted under limited guidance and supervision • within agreed authorisation and limits • subject to frequent change in a multi-disciplinary environment
Cost management strategies and processes may include:	• measurement of actual progress against planned milestones • recording and reporting of variations

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- implementation of financial control mechanisms
- communication with stakeholders, dispute resolution and modification procedures

Project records may include:

- lists of potential costs
- invoice and payment records
- cost verification and validation documentation
- input to cost management plans
- reports to higher authority
- project and/or organisation files and records
- cost management lessons learned

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that they have made contributions to the cost management of projects. This will include evidence of working with others to develop a budget for the project; monitoring expenditure within the project against the agreed budget; managing financial completion activities; and reviewing expenditure as part of the review of the project on completion and closure. This contribution may be within own area of expertise or across several aspects of the project.

Specific Evidence Requirements

Required knowledge and understanding include:

- the need for cost management within the broad project management framework
- the place of cost management in the context of the project life cycle and other project management functions
- the application of cost management tools and techniques within the individual's area of expertise
- how, when and why cost management processes are implemented
- the importance of the individual's contribution to the cost management process

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities
- financial management skills
- planning
- monitoring and tracking

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- teamwork and communication skills
- attention to detail and accuracy

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit

Communicating ideas and information (2)	• communicating as part of a team, including negotiating and developing reports • communicating verbally, including making presentations, if required, and participating in meetings, questioning and discussions
Collecting, analysing and organising information (2)	• monitoring and controlling project finances • reviewing projects
Planning and organising activities (2)	• planning work and project tasks for self and others
Working in a team (2)	• working with others, including external parties/clients and project team manager
Using mathematical ideas and techniques (2)	• using calculation skills associated with monitoring aspects of finances involved in project • developing, or assisting in developing, budgets for projects
Solving problems (2)	• applying problem-solving skills where required to manage costs within projects
Using technology (2)	• using word processing packages and spreadsheets to produce written correspondence, reports of project activities and financial reports • using specific project management software tools • using assistive technology, if required
Innovation skills (–)	• not applicable

Products that could be used as evidence include:

- cost estimates in area of expertise
- use of cost management tools and techniques
- records of income and expenditure
- records and reports of progress of cost activities
- implementation, maintenance and control functions of the cost management system

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	• cost review(s), including reports of lessons learned and recommendations for improvement
Processes that could be used as evidence include:	• how budget was developed • how financial monitoring processes were established • how finances in project were monitored and how identified problems/issues were acted upon • how completion activities were undertaken • how project was reviewed with respect to costs • how identified improvements to project were acted upon in relation to costs
Resource implications for assessment include:	• access to workplace documentation
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • examples of projects where the candidate has contributed to managing costs within each project
Integrated competency assessment means:	• that this unit should be assessed with other project management units at Certificate IV, as applicable to the candidate's role in the project

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BSBPM404A Apply quality management techniques

Unit Descriptor

This unit specifies the outcomes required to enhance project outcomes through the application of the quality policy by contributing to quality planning, applying quality policies and procedures, and contributing to continuous improvement within projects.

Competency Field

Business management services

Domain

Project management

Application of the Competency

A project team member usually performs this function under the overall direction of the project manager and working with other project team members. The functions performed by a project team manager to manage quality for the whole project are addressed in BSBPM505A Manage project quality.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Contribute to quality planning	1.1 Contribution is made in determining quality requirements of project stakeholders
	1.2 Contribution is made in establishing quantifiable quality criteria for project outcomes and objectives
	1.3 *Information* is sourced to locate and interpret quality policy and procedures
	1.4 Contribution is made to the development of quality requirements in the project plan and processes
2. Apply quality policies and procedures	2.1 Under *delegated authority*, work is undertaken to implement *quality assurance* within the project in accordance with agreed quality standards and guidelines
	2.2 Records and documentation are maintained in accordance with set procedures to facilitate *quality control* and to provide an audit trail
	2.3 Results of project activities and product performance are documented and evaluated to determine compliance with agreed quality standards
	2.4 Shortfalls in quality outcomes are reported to *others* to enable appropriate action to be initiated
3. Contribute to continuous improvement process	3.1 Assistance is provided in the ongoing review of project outcomes to determine the effectiveness of quality management activities

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3.2 Quality management issues and responses are reported to *others* for application in future projects

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Information may include:	• project quality guidelines and instructions • designated standard operating procedures and regulations • organisational quality management policy and guidelines as applied to specific requirements of a project • organisation and project standards
Delegated authority refers to those activities that are:	• within established organisational framework, procedures and routines • carried out under limited guidance and supervision • within agreed authorisation and limits • subject to frequent change in a multi-disciplinary environment
Quality assurance may include:	• a systematic review of the project management process to ensure compliance with organisational policy and guidelines • a project finalisation process to capture lessons learned and enable continuous improvement
Quality control activities may include:	• monitoring conformance with the specification • inspections and audits in compliance with guidelines • reporting of variances • recommending ways to eliminate causes of unsatisfactory performance of products or processes • regular inspection by the individual or the monitoring of inspections by internal or external agents

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Others may include:

- project manager
- higher project authority
- team members
- project specialists or other personnel

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that they have contributed the quality management of projects. This will include evidence of working with others to develop quality plans and quality assurance mechanisms for the project; monitoring and controlling quality within the project against requirements, and acting on identified problems/issues; contributing to continuous improvement; and reviewing quality on project completion and closure. This contribution may be within own area of expertise or across several aspects of the project.

Specific Evidence Requirements

Required knowledge and understanding include:

- the need for quality management within the broad project management framework
- the place of project quality management in the context of the project life cycle and other project management functions
- the application of quality management tools and techniques within the candidate's area of expertise
- how, when and why project quality management processes are implemented
- the importance of the individual's contribution to the project quality management process

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- project quality assurance skills
- project quality control skills
- project quality planning
- quality monitoring and control
- teamwork and communication skills
- attributes
  - attention to detail
  - accuracy

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Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (3)	• communicating as part of a team, including negotiating and developing reports • communicating verbally, including making presentations, if required, and participating in meetings, questioning and discussions
Collecting, analysing and organising information (2)	• tracking and monitoring and controlling quality within project • applying relevant skills associated with reviewing project
Planning and organising activities (2)	• planning work and project tasks for self and with others
Working in a team (2)	• working with others, including external parties/clients and project team manager
Using mathematical ideas and techniques (1)	• using calculation skills associated with specifications development conformance criteria involved in the project
Solving problems (2)	• applying problem-solving skills where required to address problems arising in managing quality within the project
Using technology (2)	• using word processing packages to produce written correspondence, reports of project activities • using specific project management software tools • using assistive technology, if required
Innovation skills (–)	• not applicable

Products that could be used as evidence include:

- records of input to identification of stakeholder expectations, quality objectives, standards and levels
- records of input to the quality management plan
- records of use of quality management tools
- records of inspections and reports on project quality outcomes
- reports of progress on project quality issues

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	• input to project quality reviews, including reports of lessons learned and recommendations for improvement
Processes that could be used as evidence include:	• how project quality plan was developed • how project quality requirements were determined • how project quality assurance plan was implemented or integrated within overall project plan • how project quality was monitored within project • how issues/problems identified with project quality within project were acted upon • how projects were reviewed in relation to quality and identified improvements were acted upon
Resource implications for assessment include:	• access to workplace documentation • access to/inspection of audit trails of project documentation and organisational quality policy and guidelines
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • examples of projects where the candidate has contributed to managing quality within projects
Integrated competency assessment:	• this unit should be assessed with other project management units at Certificate IV, as applicable to the candidate's role in the project

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BSBPM405A Apply human resources management approaches

Unit Descriptor

This unit specifies the outcomes required to assist with aspects of human resources management of a project. This involves calculating human resource requirements and skills levels for achievement of project tasks, identifying the learning and development needs of people working on the project, facilitating these needs being met, and resolving and preventing conflict within the team.

Competency Field

Business management services

Domain

Project management

Application of the Competency

A project team member usually performs this function under the overall direction of the project manager and working with other project team members. The functions performed by a project team manager to manage human resources for the whole project are addressed in BSBPM506A Manage project human resources.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Assist with determination of human resource requirements	1.1 *Work break-down structure* is analysed to determine *human resource requirements* 1.2 Assessment is made of skill levels of project personnel against project task requirements 1.3 Contribution is made to stakeholder analysis, and stakeholder expectations are quantified and qualified 1.4 Responsibilities are assigned for achieving project deliverables
2. Assist with human resource control and stakeholder management	2.1 The work of project personnel is monitored against assigned roles and responsibilities 2.2 Actual effort is tracked, monitored and controlled against plan, and skill levels are reviewed against allocated tasks, and remedial action is recommended, where required, to *others* 2.3 Contribution is made to tracking, monitoring and controlling stakeholder participation in and communication with the project

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	2.4	Others are advised when assigned responsibilities are not met by project personnel, or stakeholder expectations are at variance
	2.5	Work is undertaken in a multi-disciplinary environment in accordance with established human resource management *practices, plans, guidelines and procedures* to achieve designated project objectives
	2.6	Potential and actual conflicts are resolved in accordance with agreed dispute resolution processes or are reported to others for resolution
	2.7	*Human resource development opportunities* are offered to individuals with skill gaps
3. Contribute to conclusion of human resource practices and stakeholder management	3.1	Contribution is made to assess the overall effectiveness of project human resource management, and lessons learned are documented
	3.2	Human resource issues are reported to others to aid the continuous improvement process
	3.3	Contribution is made to stakeholder satisfaction analysis, and in post-project operational review

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Work break-down structure is:	• a planning tool or process which divides and sub-divides the work of a project into smaller, more manageable work packages
Human resource requirements may include occupations such as:	• engineer, inspector, systems analyst, researcher, labourer, industrial chemist, accountant, editor, writer, statistician etc

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Others may include:	• project manager • higher project authority • team members • project specialists or other personnel
Practices, plans guidelines and procedures may include:	• project human resources management plan • organisation project management procedures • skills framework nominating skill levels required for specific types of project activities • staffing plan/job description • industrial relations agreements and guidelines • professional operating standards
Human resource development opportunities may include:	• project management • general management • project administration, for example computer applications and filing systems • specialist/professional skills and career progression • interpersonal communications • team building and group activities • coaching and mentoring

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that hey have contributed to the human resources management of projects. This will include evidence of working with others to facilitate achievement of project outcomes; practising resource management, including stakeholder management; preventing and resolving conflict; and supporting and developing skills in the project team.

Specific Evidence Requirements

Required knowledge and understanding include:	• the need for human resources management within the broad project management framework • the place of project human resources management in the context of the project life cycle and other project management functions • the application of project human resources management tools and techniques within the candidate's area of expertise

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	• how, when and why project human resources management processes are implemented • the importance of the individual's contribution to the project human resources management process
Required skills and attributes include:	• ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities • human resource management skills • planning • monitoring and tracking • teamwork and communication skills • attributes: – empathy – attention to detail – ability to work with others – belief in the value of learning and development
Key competencies or generic skills relevant to this unit	The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit: Level (1) represents the competence to undertake tasks effectively Level (2) represents the competence to manage tasks Level (3) represents the competence to use concepts for evaluating and reshaping tasks The bulleted points provide examples of how the key competencies can be applied for this unit
Communicating ideas and information (2)	• communicating as part of a team, including negotiating and developing reports • communicating verbally, including making presentations, if required, and participating in meetings, questioning and discussions
Collecting, analysing and organising information (2)	• tracking and monitoring human resources within the project • applying relevant skills associated with reviewing project human resources management
Planning and organising activities (2)	• planning work and project tasks for self and with others
Working in a team (2)	• working with others, including external parties/clients and project team manager
Using mathematical ideas and techniques (1)	• calculating associated with data manipulation involved in project

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Solving problems (2)	• applying problem-solving skills where required to address problems arising in managing people within projects, and the broader implications of (sometimes conflicting) stakeholder expectations
Using technology (2)	• using word processing packages to produce written correspondence and reports of project activities • using specific project management, resource and HR management software tools • using assistive technology, if required
Innovation skills (–)	• not applicable
Products that could be used as evidence include:	• resource management (identification, allocation, tracking) records • responsibility assignment and resource assignment registers/tables • lists of individual and group competencies • input to the project human resources management plan • records of contribution to team activities, including team training and development • conflict resolution records
Processes that could be used as evidence include:	• how resources were allocated and tracked for suitability of numbers/effort and skill levels • how project responsibilities were assigned and tracked for accountability/conformance • how conflict between team members was resolved and actions taken to prevent conflicts eventuating • how human resource management issues were acted upon including reporting up to a higher authority
Resource implications for assessment include:	• access to workplace documentation
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • examples of projects where the candidate has contributed to managing human resources for projects
Integrated competency assessment means:	• that this unit should be assessed with other project management units at Certificate IV, as applicable to candidate's role in the project

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BSBPM406A Apply communications management techniques

Unit Descriptor

This unit specifies the outcomes required to provide a critical link between people, ideas and information at all stages in the project lifecycle. It covers assisting the project team to plan communications, facilitating information flow, communicating information related to the project, and reviewing communications.

Competency Field

Business management services

Domain

Project management

Application of the Competency

A project team member usually performs this function under the overall direction of the project manager and working with other project team members. The functions performed by a project team manager to manage communications within projects are addressed in BSBPM507A Manage project communications.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Contribute to communications planning	1.1 Relevant information requirements are identified, sourced and contributed to initial project documentation
	1.2 Contribution is made to the development and implementation of the communications plan and communications networks
2. Conduct information management activities	2.1 Information is gathered, validated, stored, retrieved, filtered and disseminated as directed, within agreed procedures to aid decision making processes throughout project life cycle
	2.2 Information is maintained to ensure security and auditability of data
3. Communicate project information	3.1 *Communication within project, with client and other stakeholders* is undertaken within agreed networks, processes and procedures to ensure flow of necessary information
	3.2 Reports are written and released in accordance with authorisation, or drafted for release by *others*
	3.3 Information and advice are sought from appropriate project authorities when in doubt

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4. Contribute to assessment of communications management outcomes	4.1 Assistance is provided in the ongoing review of project outcomes to determine the effectiveness of communications management activities
	4.2 Communications management issues and responses are reported to higher project authorities for application in future projects

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace which may include**:**

- award and enterprise agreements and relevant industrial instruments
- 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 industry codes of practice

Communication within project, with client and stakeholders will be:

- within established organisational framework, procedures and routines
- under limited guidance and supervision
- within agreed authorisation and limits
- in a multi-disciplinary environment subject to frequent change
- and may include:
  - written reports, briefs, minutes, letters and other documentation
  - oral briefings, advice and conversations and telephone calls
  - computer generated communications, for example electronic data transfer and internet

Others may include:

- project manager
- higher project authorities
- team members
- project specialists or personnel

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that they have contributed to the management of communications within projects. This will include evidence of working with others to plan communications for the project; managing information flow for the project, including information coming into the project and information disseminated from and about the project; and reviewing communications within the project.

Specific Evidence Requirements

Required knowledge and understanding include:

- the need for project communications management within the broad project management framework
- the place of project communications management in the context of the project life cycle and other project management functions
- the application of project communications management tools and techniques within the individual's area of expertise
- the process of drafting, obtaining endorsement and forwarding reports to a higher authority
- how, when and why project communications management processes are implemented
- the importance of the individual's contribution to the project communications management process

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities
- planning
- monitoring and tracking
- teamwork and communication skills, including writing skills
- attributes:
  - accuracy
  - attention to detail

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Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit

Communicating ideas and information (2)	• communicating as part of a team, including negotiating and developing reports • communicating verbally, including making presentations, if required, and participating in meetings, questioning and discussions
Collecting, analysing and organising information (2)	• tracking and monitoring communications within project • applying relevant skills associated with reviewing projects
Planning and organising activities (2)	• planning work and project tasks for self and with others
Working in a team (2)	• working with others, including external parties/clients and project team manager
Using mathematical ideas and techniques (1)	• using calculation skills associated with data manipulation involved in project
Solving problems (2)	• applying problem-solving skills where required to address problems arising in managing communications within projects
Using technology (2)	• using word processing packages to produce written correspondence and reports of project activities • using specific project management software tools • using assistive technology, if required
Innovation skills (–)	• not applicable

Products that could be used as evidence include:

- documented communications plan or communications element of (master) project plan
- reports and meetings timetable/attendance criteria (attend, be informed, etc)
- progress and exception reports
- project meeting minutes

	• registers of communications involved with the project such as files, registers, lists, information distribution lists • examples of communications generated about the project for third parties such as reports, memos and letters • reviews undertaken of project communications • project completion reports with actions arising/undertaken • identified improvements arising from review process
Processes that could be used as evidence include:	• how communication plan was developed • how project information requirements were determined • how project meetings were planned, carried out, minuted and acted upon • how information flow was managed within the project • how project reporting process was developed and implemented • how need for information to be disseminated was determined • how information was shared among team members • how communication strategy was reviewed for project • how identified improvements to communications were acted upon
Resource implications for assessment include:	• access to workplace documentation
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • examples of projects where the candidate has contributed to managing communications
Integrated competency assessment means:	• that this unit should be assessed with other project management units at Certificate IV, as applicable to the candidate's role in the project

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BSBPM407A Apply risk management techniques

Unit Descriptor

This unit specifies the outcomes required to assist with aspects of risk management within a project. It specifically involves assisting the project team to plan, control and review risks associated with the project.

Competency Field

Business management services

Domain

Project management

Application of the Competency

A project team member usually performs this function under the overall direction of the project manager and working with other project team members. The functions performed by a project team manager to manage risks within projects are addressed in BSBPM508A Manage project risk.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Assist with risk analysis and planning	1.1 Contribution is made to identify and prioritise potential risks throughout the project life cycle
	1.2 Within *delegated authority*, input is provided to develop risk management strategies and risk management plans within established guidelines
	1.3 Established *risk analysis methods, techniques and tools* are used to assist in the analysis of risks
	1.4 Reporting mechanisms for risks are planned and agreed
2. Conduct risk control activities	2.1 Control activities are undertaken in accordance with agreed project and risk management plans to achieve project objectives
	2.2 Progress is measured, and perceived, potential or actual risks are acted on within authority or reported to *others* for response
	2.3 Contribution is made to the implementation of agreed risk approaches and the amendment of plans to reflect the changing environment
	2.4 *Opportunities* are identified and reported for action in the same way as risks
3. Contribute to assessing risk management outcomes	3.1 Contribution is made to the ongoing *review* of project outcomes to determine the effectiveness of risk management activities by accessing project *records* and other available information

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3.2 Risk management issues and responses are reported to others for lessons learned or application in future projects

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Risk analysis methods, techniques and tools may include:	• using personal experience and/or subject matter experts • assisting in qualitative and/or quantitative risk analysis, such as schedule simulation, decision analysis, contingency planning and alternative strategy development • using specialist risk analysis tools to assist in the decision making process
Delegated authority means:	• within established organisational framework, procedures and routines • under limited guidance and supervision • within agreed authorisation and limits • subject to frequent change in a multi-disciplinary environment
Others may include:	• project manager • higher project authorities • team members • project specialists or personnel
Opportunities may include:	• better means of achieving a result • efficiencies or methods to work more effectively, such as ways of shortening an activity • responses to changing commercial/competitive conditions • changes in the project or broader environment that offer scope for rescheduling activities to better effect

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	• initial project activities that reveal entirely different sets of priorities, for example product development, research and policy development
Review may include evaluations of:	• agreed major milestones, for example phases and sub-contracts • delivery of major deliverables • change of key personnel • finalisation of project and other agreed milestones
Records may include:	• lists of potential risk events (risk register/log) • risk analysis and reappraisal • risk management plan • risk diaries, incident logs, occurrence reports and other such documentation • project and/or organisation files and records • risk management lessons learned

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that they have contributed to the management of risk within projects. This will include evidence of working with others to identify risk and develop risk management strategies; controlling risks; monitoring risks (with an emphasis on variation management); and reviewing risk management within the project.

Specific Evidence Requirements

Required knowledge and understanding include:	• the need for project risk management within the broad project management framework • the place of project risk management in the context of the project life cycle and other project management functions • the application of project risk management tools and techniques within the candidate's area of expertise • how, when and why risk identification, monitoring and reporting processes are implemented • the importance of the individual's contribution to the project risk management process

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds' and physical and mental abilities
- risk management
- planning
- monitoring and tracking
- teamwork and communication skills
- attributes:
  - accuracy
  - attention to detail
  - thoroughness

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit

Communicating ideas and information (2)	• communicating as part of a team, including negotiating and developing reports • communicating verbally, including making presentations, if required, and participating in meetings, questioning and discussions
Collecting, analysing and organising information (2)	• tracking, monitoring and controlling risk within the project • applying relevant skills associated with reviewing projects
Planning and organising activities (2)	• planning work and project tasks for self and with others
Working in a team (2)	• working with others, including external parties/clients and project team manager
Using mathematical ideas and techniques (2)	• using calculating associated with data manipulation involved in the project
Solving problems (2)	• applying problem-solving skills where required to address problems arising in managing risk within projects
Using technology (2)	• using word processing packages to produce written correspondence and reports of project activities

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	• using specific project management and risk management software tools • using assistive technology, if required
Innovation skills (–)	• not applicable
Products that could be used as evidence include:	• records of input to risk management risk management plan and strategies • lists of perceived, potential or actual risk events (risk register/log) • risk management reports • periodic reports that include updating project risk likelihood/impact ratings • pre-planned response mechanisms for level of risk likelihood per activity • records of (time/cost) contingency planning as an outcome of project risk management • records of input to project risk reviews, including reports of lessons learned and recommendations for improvement
Processes that could be used as evidence include:	• how risks were determined, analysed, prioritised and planned for • how risk management strategies were determined • how contingency management process was aligned to risk management (planning and control) process • how effectiveness of risk controls was monitored and any issues/problems acted upon • how risk management was reviewed for project and identified improvements acted upon
Resource implications for assessment include:	• access to workplace documentation
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • examples of projects where the candidate has contributed to managing risk for projects
Integrated competency assessment means:	• that this unit should be assessed with other project management units at Certificate IV, as applicable to the candidate's role in the project

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BSBPM408A Apply contract and procurement techniques

Unit Descriptor

This unit specifies the outcomes required to assist with contracting and procurement for a project. It covers identifying procurement and contract requirements, contributing to contractor selection, conducting contracting and procurement activities, and conducting finalisation activities for the project.

Competency Field

Business management services

Domain

Project management

Application of the Competency

A project team member usually performs this function under the overall direction of the project manager and working with other project team members. The functions performed by a project team manager to manage procurement within projects are addressed in BSBPM509A Manage project procurement.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Assist with contract and procurement planning	1.1 Contribution is made to the establishment of procurement requirements 1.2 Under *delegated authority*, contribution is made to the development of the procurement management plan 1.3 Contribution is made to the development of project documentation for contract definition and formation
2. Contribute to contractor selection process	2.1 Information on potential suppliers is gathered and evaluated 2.2 Recommendations are made to assist in selection of preferred contractors 2.3 Contribution is provided to the definition of agreed terms and conditions with preferred contractor 2.4 Contribution is made to the development of the final tendering and contractual documentation
3. Conduct contracting and procurement activities	3.1 *Procurement activities* are undertaken and information is maintained so that reporting, confidentiality and audit requirements are met 3.2 Supplies are received, reconciled and registered in accordance with established procedures to facilitate payment throughout project

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	3.3 Contractors and suppliers and their activities are monitored and controlled for compliance with designated responsibilities, deliverables, time/cost and quality conformance, and other requirements
4. Conduct finalisation activities	4.1 Testing and acceptance of supplies are undertaken to ensure quality and suitability for purpose
	4.2 Assistance is provided in the ongoing *review* of project outcomes using available *records* and information to determine the effectiveness of contracting and procurement activities
	4.3 Contracting and procurement management issues and responses are reported to *others* for application in future projects

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Delegated authority means:	• within established organisational framework, procedures and routines • under limited guidance and supervision • within agreed authorisation and limits • subject to frequent change in a multi-disciplinary environment
Procurement activities may include:	• obtaining quotes from potential suppliers or providing quotes to potential clients or collaborating agencies and alliances • identifying OHS issues • confirming details • obtaining approvals from higher project authorities • formally receipting goods and services or providing formal notice of delivery of goods and services • planning, specifying and/or conducting test and acceptance procedures • maintaining registers and lists

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	• processing payment documentation • liaising with client, contractors and sub-contractors, and other stakeholders • conducting transfer and disposal actions
Review may include evaluations of:	• agreed major milestones, for example phases and sub-contracts • delivery of major deliverables • changes of key personnel • finalisation of project and other agreed milestones
Records may include:	• lists of suppliers • procurement logs, registers • quotes, invoices and receipts • test and acceptance results • assets and disposal actions • procurement reports • records of contract planning, formation, negotiation or administration
Others may include:	• project manager • higher project authorities • team members • project specialists or personnel

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that they have contributed to the management of contracting and procurement within projects. This will include evidence of working with others to plan and manage contracts/procurement; developing documentation used in compiling contracts, negotiation or administration of contracts; selecting contractors through organisational procedures; and reviewing contract/procurement management within the project.

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Specific Evidence Requirements

Required knowledge and understanding include:

- the need for project contract and procurement management within the broad project management framework
- OHS legislative requirements
- the place of project contract and procurement management in the context of the project life cycle and other project management functions
- the application of project contract and procurement management tools and techniques within the candidate's area of expertise
- how, when and why project contract and procurement management processes are implemented
- the importance of the individual's contribution in the project contract and procurement management process

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- procurement management
- contract definition, formation and administration management
- planning
- monitoring and tracking
- teamwork and communication skills
- attributes:
  - accuracy
  - attention to detail
  - thoroughness

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Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit

Communicating ideas and information (2)	• communicating as part of a team, including negotiating and developing reports • communicating verbally, including making presentations, if required, and participating in meetings, questioning and discussions
Collecting, analysing and organising information (2)	• tracking, monitoring and controlling contract and procurement activity within project • applying relevant skills associated with reviewing projects
Planning and organising activities (2)	• planning work and project tasks for self and with others
Working in a team (2)	• working with others, including external parties/clients and project team manager
Using mathematical ideas and techniques (1)	• using calculation skills associated with data manipulation involved in project and financial management of procurement
Solving problems (2)	• applying problem-solving skills where required to address problems arising in managing procurement and contract activity within projects
Using technology (2)	• using word processing packages and spreadsheets to produce written correspondence, reports of project activities and procurement reports • using specific project management software tools • using assistive technology, if required
Innovation skills (–)	• not applicable

Products that could be used as evidence include:

- input to contract and procurement management plans
- records of potential suppliers
- records of input to the contractor evaluation and selection process
- procurement logs, registers and other records of quotes, invoices, receipts, test and acceptance results, assets and disposal actions

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	• procurement reports • records of input to contract and procurement reviews, including reports of lessons learned and recommendations for improvement
Processes that could be used as evidence include:	• how procurement requirements were determined • how procurement management plan was developed • how contractor selection process was implemented • how necessary procurement was managed • how contract and procurement activity was reviewed
Resource implications for assessment include:	• access to workplace documentation
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • examples of projects where the candidate has contributed to managing procurement and contracts for projects
Integrated competency assessment means:	• that this unit should be assessed with other project management units at Certificate IV, as applicable to the candidate's role in the project

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BSBPM501A Manage application of project integrative processes

Unit Descriptor

This unit specifies the outcomes required to integrate and balance the overall project management functions of scope, time, cost, quality, human resources, communications, risk and procurement, and align and track the project objectives to comply with organisational goals, strategies and objectives.

Competency Field

Business management services

Domain

Project management

Application of the Competency

A project manager usually performs this function. The functions performed by a program manager to manage integration within multiple projects are addressed in BSBPM601A Direct the integration of multiple projects/programs.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Manage integration of all functions of project management	1.1 Project stakeholders and their interests are identified with guidance of senior personnel 1.2 All *project management functions* are analysed with senior personnel and relevant stakeholders to determine achievable project objectives 1.3 The *project plan* is developed, to integrate all project management functions to achieve outcomes and requirements for time, cost, quality, risk/uncertainty 1.4 Project plan is endorsed by senior personnel 1.5 Designated control mechanisms are established to control planned activity
2. Coordinate internal and external environments	2.1 The project is managed within an established *internal working environment* to ensure work is conducted effectively throughout the project 2.2 Established links are maintained to align project objectives with organisation objectives throughout the project life cycle 2.3 Where necessary, assistance from senior personnel is sought to resolve conflicts which may negatively affect project objectives

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3. Implement project activities throughout life cycle	3.1 Agreed project phases, approval points and review points occur
	3.2 Progress is reported against established project baselines to measure performance throughout the project life cycle
	3.3 Established *finalisation plans, procedures and activities* are implemented
	3.4 *Integration management issues and recommended improvements* are identified, documented and passed on to senior personnel for application to future projects

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
The nine *project management functions* are:	• project integration • scope • time • cost • quality • human resources • communications • risk • procurement and contracting
The *project plan* may include:	• a single document • a covering document which integrates the requirements of the nine functions of project management using appropriate formats and procedures
The internal environment may include:	• physical location of project • layout of project personnel and equipment • personal working conditions • team dynamics

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	• identity and differentiation of the project within the larger environment
Finalisation plans, procedures and activities may include:	• transition of responsibility/ownership of project deliverables/products • transfer of assets to the client or originating owner • warranty requirements • project evaluation • final audit/reconciliation • settling of financial liabilities • finalisation of account codes and other financial documentation • forwarding finalisation report to senior personnel
Integration management issues and recommended improvements may include:	• evaluation using established success and failure criteria • lessons learned • knowledge management • training programs • records

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that they have taken responsibility within projects for integrating all project management functions (scope, time, cost, quality, human resources, communications, risk and procurement). This will include evidence of managing the work of others in the project team.

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Specific Evidence Requirements

Required knowledge and understanding include:

- a broad knowledge and understanding of:
  - the project process, the project life cycle and the relationship between project phases
  - planning and control procedures, resource management and risk management
  - a range of suitable methodologies, techniques and tools available to project managers
  - the application of leadership and personnel management within a project environment
  - internal and external environment factors that may affect the project

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- project management
- planning and organising
- communication and negotiation
- problem-solving
- leadership and personnel management
- monitoring
- evaluation
- attributes:
  - analytical
  - able to maintain an overview
  - communicative
  - positive leadership
  - focused on outcomes

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit

Communicating ideas and information (3)

- communicating to lead a team, including negotiating and developing reports
- communicating verbally, including making presentations, and participating in meetings, questioning and discussions

Collecting, analysing and organising information (2)	• tracking and monitoring of project • applying relevant skills associated with reviewing projects
Planning and organising activities (2)	• planning own work and that of project team members
Working in a team (3)	• leading and representing the project team • working with others, including external parties/clients and project team members
Using mathematical ideas and techniques (1)	• using calculation skills associated with data manipulation involved in project including financial data
Solving problems (3)	• applying problem-solving skills, as required • assisting others to solve problems arising within the project
Using technology (2)	• using word processing packages, spreadsheets, databases and other packages to produce written correspondence and reports of project activities, financial reporting and data collation • using specific project management software tools • using assistive technology, if required
Innovation skills (2)	• using review processes to inform future activity in project management

Products that could be used as evidence include:

- documentation produces in managing project integration, such as:
  - records of evaluation and consultative processes to determine achievable project objectives
  - project plans and sub-plans covering the nine functions of project management
  - records of evaluation of the impact of the organisation and other environments on project objectives
  - records of implementation of project phases and milestones
  - records of measurement and reporting of progress in relation to established baselines
  - finalisation plans
  - lists of integration management issues and recommended improvements

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Processes that could be used as evidence include:	• how project planning was undertaken • how team members were managed throughout projects • how projects were monitored during the life cycle of the project • how problems arising in projects were addressed • how projects were finalised • how projects were reviewed and lessons learned acted upon
Resource implications for assessment include:	• access to workplace documentation
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • examples of projects where the candidate has managed integration for projects
Integrated competency assessment means:	• that this unit should be assessed with other project management units at a Diploma qualification, as applicable to the candidate's management role in projects

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BSBPM502A Manage project scope

Unit Descriptor

This unit specifies the outcomes required to determine and control the end products of the project, and the processes to develop them. It covers project authorisation, developing a scope management plan, and managing the application of project scope controls.

Competency Field

Business management services

Domain

Project management

Application of the Competency

A project manager usually performs this function. The functions performed by a program manager to manage scope within multiple projects are addressed in BSBPM602A Direct the scope of multiple projects/programs.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Conduct project authorisation activities	1.1 *Project authorisation* is confirmed with a higher authority as the basis for future project management activity and commitment of resources and effort
2. Conduct project scope definition activities	2.1 Project objectives, *deliverables*, constraints and assumptions and principal work activities are identified with guidance of a higher project authority and agreed between the project team and the client
	2.2 Designated measurable project benefits and outcomes are established to enable quantified evaluation of *project performance*
	2.3 *Scope management* plan is developed and implemented
3. Manage application of scope controls	3.1 Agreed scope management procedures and processes are implemented
	3.2 The impact of scope changes is managed within established time, cost and quality constraints according to *change control procedures* and to meet project objectives
	3.3 Progress is reviewed and results recorded to assess the effectiveness of scope management procedures
	3.4 Scope management issues and recommended improvements are identified, documented and passed on to a higher project authority for application to future projects

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Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Project authorisation may:	• already have been decided before involvement of the project manager • be required at a number of critical review points during the project • be in the form of a scope statement which briefly explains why the project has been formed, what it hopes to achieve and how success will be measured
Project deliverables may include:	• all products and services defined within the project scope
Scope management may include:	• refining scope progressively throughout the project life cycle • identifying and reporting scope creep, that is incremental increases to scope that were not part of the original project requirements • identifying factors which influence changes to scope • determining that a scope change has occurred or is about to occur • seeking authorisation for changes to project scope • implementing agreed scope changes • monitoring and reporting the effect of scope changes on other areas and on achievement of project objectives
Change control procedures may include:	• major elements of the project liable to change, for example design, engineering, finance • project documentation, including plans, schedules, statements, directives, guidelines and instructions • formal agreements, for example contracts, sub-contracts, memoranda of understanding

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Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that they have taken responsibility for scoping projects. This will include evidence of managing the work of others within the project team to scope the project.

Specific Evidence Requirements

Required knowledge and understanding include:

- a broad knowledge and understanding of:
  - organisational processes leading to project authorisation, start-up and designation of project manager
  - the place of scope management in the context of the project life cycle
  - the need for scope definition during project start-up and ongoing definition during the project
  - methods to define products and activities, for example work, organisation and product breakdown structures
  - the components of a scope statement
  - the practice of change control

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- project management
- planning and organising
- communication and negotiation
- problem-solving
- leadership and personnel management
- monitoring and review skills
- attributes:
  - analytical
  - able to maintain an overview
  - communicative
  - positive leadership

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Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit

Communicating ideas and information (3)	• communicating to lead a team, including negotiating and developing reports • communicating verbally, including making presentations, and participating in meetings, questioning and discussions
Collecting, analysing and organising information (2)	• tracking, monitoring and controlling the project • applying relevant skills associated with reviewing the project
Planning and organising activities (2)	• planning own work and that of project team members
Working in a team (3)	• leading and representing the project team • working with others, including external parties/clients and project team members
Using mathematical ideas and techniques (1)	• using calculation skills associated with data manipulation involved in project including financial data
Solving problems (3)	• applying problem-solving skills as required to address problems arising in managing the project • assisting others to solve problems arising within project
Using technology (2)	• using word processing packages, spreadsheets, databases and other packages to produce written correspondence, a plan, scope definition and reports of project activities, financial reporting and data collation • using specific project management software tools • using assistive technology, if required
Innovation skills (2)	• using review process to inform future activity in project management

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Products that could be used as evidence include:

- documentation produced in managing scope of projects such as:
  - project scope documentation, including plans, schedules, statements, directives, guidelines and instructions
  - work breakdown, product breakdown and organisation breakdown structures
  - other scope definition documents
  - progress and performance measurement reports
  - change requests/change orders
  - records of control of scope changes
  - records of scope lessons learned

Processes that could be used as evidence include:

- how project authorisation was gained
- how project scope was defined
- how team members were managed throughout projects with respect to the scope of each project
- how the need for scope changes within projects were identified and implemented
- how projects were reviewed with respect to the scope of the project
- how improvements to scope management of projects were acted upon

Resource implications for assessment include:

- access to workplace documentation

Validity and sufficiency of evidence requires:

- that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment
- examples of projects where the candidate has undertaken project scope management responsibilities

Integrated competency assessment means:

- that this unit should be assessed with other project management units at a Diploma qualification, as applicable to the candidate's management role in projects

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BSBPM503A Manage project time

Unit Descriptor

This unit specifies the outcomes required to manage time within projects. It covers determining and implementing the project schedule and assessing time management outcomes.

Competency Field

Business management services

Domain

Project management

Application of the Competency

A project manager usually performs this function. The functions performed by a program manager to manage time within multiple projects are addressed in BSBPM603A Direct time management of multiple projects/programs.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Determine project schedule	1.1 The duration and effort, sequence and dependencies of tasks are determined from the scope definition as the basis for the project schedule
	1.2 Input to and approval for the project schedule are obtained from stakeholders and a higher authority
	1.3 Within *delegated authority*, *methods, techniques and tools* are selected and used to determine preferred schedule, *time management plan(s)*, resource allocation and financial requirements
	1.4 Agreement to the schedule is obtained from a higher project authority and communicated to stakeholders to provide the basis for measurement of progress
2. Implement project schedule	2.1 Mechanisms are implemented to measure, record and report progress of activities in relation to the agreed schedule and plans
	2.2 Ongoing analysis of options is conducted to identify variances and forecast the impact of changes to the schedule
	2.3 Progress is reviewed throughout the project life cycle and agreed schedule changes are implemented to ensure consistency with changing scope, objectives and constraints related to time and resource availability

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	2.4	Responses to perceived, potential or actual schedule changes are developed, agreed by a higher project authority, and implemented to maintain project objectives
3. Assess time management outcomes	3.1	Project outcomes are reviewed from available *records* and information to determine the effectiveness of time management activities
	3.2	Time management issues and recommended improvements are identified, documented and passed on to a higher project authority for application in future projects

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Delegated authority refers to activities:	• being done independently within broad guidance or by taking the lead of a team • involving consultation with other project members, teams and internal stakeholders • involving the selection, use and supervision of appropriate time management methods, tools and techniques • being conducted routinely or as changing circumstances dictate • taking into account internal organisational change and external environmental change
Methods, techniques and tools may include:	• using personal experience and/or subject matter experts • conducting or supervising qualitative and/or quantitative time analysis, such as schedule simulation, decision analysis, contingency planning and alternative strategy development • using specialist time analysis tools to assist in the decision making process

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Time management plans may include:	• project schedule and sub-schedules • lists of milestones • schedule management strategies and actions, standardised formal arrangements, responsibility assignment, contingency plans and assigned schedule management responsibilities
Records may include:	• lists of variances and forecasts of potential schedule events • Gantt, PERT and other scheduling charts • diaries, incident logs, occurrence reports and other such records • records of analysis, evaluation of options, recommended and approved courses of action • project and/or organisation files and records

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that they have taken responsibility within projects for time management of the projects. This will include evidence of managing the work of others within the project team with respect to time management of the project.

Specific Evidence Requirements

Required knowledge and understanding include:	• a broad knowledge and understanding of: – the need to link time, cost and resources to the project schedule – responsibilities for time management – development of project schedules – use of the schedule as a control mechanism – the place of time management in the context of the project life cycle and other project management functions – appropriate time management methodologies, their capabilities, limitations, application and outcomes
Required skills and attributes include:	• ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities • project management • time management

- planning and organising
- communication and negotiation
- problem-solving
- leadership and personnel management
- monitoring and review skills
- attributes:
  - analytical
  - able to maintain an overview
  - communicative
  - positive leadership

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit

Communicating ideas and information (3)	• communicating to lead a team, including negotiating and developing reports • communicating verbally, including making presentations, and participating in meetings, questioning and discussions
Collecting, analysing and organising information (2)	• tracking and monitoring the project • applying relevant skills associated with reviewing the project
Planning and organising activities (2)	• planning own work and that of project team members
Working in a team (3)	• leading and representing the project team • working with others, including external parties/clients and project team members
Using mathematical ideas and techniques (1)	• using calculation skills associated with data manipulation involved in project including financial data
Solving problems (3)	• applying problem-solving skills as required to address problems arising in managing the project • assisting others to solve problems arising within project

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Using technology (2)	• using word processing packages, spreadsheets, databases and other packages to produce written correspondence and reports of project activities, financial reporting and data collation • using specific project management software tools • using assistive technology, if required
Innovation skills (2)	• using review process to inform future activity in project management
Products that could be used as evidence include:	• documentation produced in managing projects: – project work breakdown structure – key activity schedule – application of precedence and dependency principles to task definition – project schedule – regular schedule reports to stakeholders and a higher authority – application of monitoring, review and reporting mechanisms – application of actual progress against planned progress – records of recommendations for, and corrective actions taken against, variances in the project schedule – records of lessons learned
Processes that could be used as evidence include:	• how the schedule of projects was determined • how agreement on schedule was reached with relevant parties • how team members were managed throughout projects with respect to time management within the project • how the schedule was managed throughout projects • how problems and issues with time management of projects were identified and addressed • how projects were reviewed with respect to time management of the project • how improvements to time management of projects were acted upon
Resource implications for assessment include:	• access to workplace documentation
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment

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	• examples of projects where the candidate has managed time and scheduling within projects
Integrated competency assessment means:	• that this unit should be assessed with other project management units at a Diploma qualification, as applicable to the candidate's management role in projects

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BSBPM504A Manage project costs

Unit Descriptor

This unit specifies the outcomes required to identify, analyse and refine project costs to produce a budget, and use this budget as the principal mechanism to control project cost.

Competency Field

Business management services

Domain

Project management

Application of the Competency

A project manager usually performs this function. The functions performed by a program manager to manage costs within multiple projects are addressed in BSBPM604A Direct cost management of multiple projects/programs.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Determine project costs	1.1 Resource requirements for individual tasks are determined, with input from stakeholders and guidance of *others*
	1.2 *Project costs* are estimated to enable budgets to be developed and agreed cost management processes implemented
	1.3 Within *delegated authority*, a cost management plan is developed and implemented to ensure clarity of understanding and ongoing management of project finances
2. Monitor and control project costs	2.1 Agreed *financial management processes and procedures* are implemented to monitor actual expenditure and to control costs
	2.2 Cost analysis methods and tools are selected and used to identify cost variations, evaluate options and recommend actions to a higher project authority
	2.3 Agreed actions are implemented, monitored and modified to maintain financial and overall project objectives throughout the project life cycle
3. Conduct financial completion activities	3.1 Appropriate activities are conducted to signify financial completion
	3.2 *Review* of project outcomes is undertaken using available *records* and information to determine the effectiveness of cost management processes and procedures
	3.3 Cost management issues and recommended improvements are identified

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Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Others may include:	• program manager • higher project authority • team members • project specialists or other personnel
Project costs are estimated to a level of accuracy available considering:	• the stage of the project life cycle • the availability of information at the time • contingencies to allow for identified risks and uncertainty • organisational requirements, for example overhead and profit margin
Delegated authority means that activities will:	• be done independently within broad guidance or by taking the lead of a team • involve consultation with other project members, teams and internal stakeholders • involve the selection, use and supervision of appropriate time management methods, tools and techniques • be conducted routinely or as changing circumstances dictate • take into account internal organisational change and external environmental change
Financial management processes and procedures may include:	• approval processes • financial authorisations/delegations • invoice procedures • communication and reporting processes
Review may include evaluations of:	• agreed major milestones, for example phases and sub-contracts • delivery of major deliverables

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- change of key personnel
- finalisation of project and other agreed milestones

Records may include:

- lists of potential costs
- invoice and payment summaries
- budgets, commitment and expenditure
- cost management plans
- reports to a higher authority
- recommended and approved courses of action
- project and/or organisation files and records
- cost management lessons learned

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that they have taken responsibility within projects for cost of the projects. This will include evidence of managing the work of others within the project team with respect to cost management of the project.

Specific Evidence Requirements

Required knowledge and understanding include:

- broad knowledge and understanding of:
  - the need to link time, cost and resources to the project framework
  - acceptance of responsibilities for cost management
  - development of project budgets and expenditure forecasts
  - use of the budgets and expenditure forecasts as control mechanisms
  - the place of cost management in the context of the project life cycle and other project management functions
  - appropriate cost management methodologies, their capabilities, limitations, application and outcomes

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- project management
- financial management
- planning and organising
- communication and negotiation

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- problem-solving
- leadership and personnel management
- monitoring and review skills
- attributes:
  - analytical
  - able to maintain an overview
  - communicative
  - positive leadership

Key competencies or generic skills relevant to this

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit

Communicating ideas and information (3)	• communicating to lead a team, including negotiating and developing reports • communicating verbally, including making presentations, and participating in meetings, questioning and discussions
Collecting, analysing and organising information (2)	• tracking, monitoring and controlling financial aspects of the project • reviewing the project
Planning and organising activities (2)	• planning own work and that of team members
Working in a team (3)	• leading and representing the project team • working with others, including external parties/clients and project team members
Using mathematical ideas and techniques (1)	• using calculation skills associated with data manipulation, including financial data
Solving problems (3)	• applying problem-solving skills as required to address problems arising in managing the project • assisting others to solve problems within the project
Using technology (2)	• using word processing packages, spreadsheets, databases and other packages to produce written correspondence and reports of project activities, financial reporting and data collation • using specific project management software tools
Innovation skills (2)	• using review process to inform future activity

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Products that could be used as evidence include:

- documentation produced in managing project costs:
  - cost estimates
  - cost management plans and strategies
  - cost breakdown structures
  - project budgets and expenditure forecasts
  - financial transition plans
  - records of project finalisation activities and disposal of project assets
  - project finalisation reports
  - records of cost management lessons learned

Processes that could be used as evidence include:

- how resource requirements were determined
- how cost management plans were developed
- how team members were managed throughout projects with respect to the costs of the project
- how problems and issues with respect to costs were identified and addressed
- how projects were reviewed with respect to costs
- how cost management improvements were actioned

Resource implications for assessment include:

- access to workplace documentation

Validity and sufficiency of evidence requires:

- that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment
- examples of projects where the candidate has managed costs within projects

Integrated competency assessment means:

- this unit should be assessed with other project management units at a Diploma qualification as applicable to the candidate's management role in projects

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BSBPM505A Manage project quality

Unit Descriptor

This unit specifies the outcomes required to manage quality within projects. It covers determining quality requirements, implementing quality assurance processes, and using review and evaluation to make quality improvements in current and future projects.

Competency Field

Business management services

Domain

Project management

Application of the Competency

A project manager usually performs this function. The functions performed by a program manager to manage quality within multiple projects are addressed in BSBPM605A Direct quality management of multiple projects/programs.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Determine quality requirements	1.1 *Quality objectives*, standards and levels are determined, with input from stakeholders and guidance of a higher project authority, to establish the basis for quality outcomes and *a quality management plan* 1.2 Established *quality management methods, techniques and tools* are selected and used to determine preferred mix of quality, capability, cost and time 1.3 Quality criteria are identified, agreed with a higher project authority and communicated to stakeholders to ensure clarity of understanding and achievement of quality and overall project objectives 1.4 Agreed quality requirements are included in the project plan and implemented as basis for performance measurement
2. Implement quality assurance	2.1 Results of project activities and product performance are measured and documented throughout the project life cycle to determine compliance with agreed quality standards 2.2 Causes of unsatisfactory results are identified, in consultation with the client, and appropriate actions are recommended to a higher project authority to enable continuous improvement in quality outcomes

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	2.3 Inspections of quality processes and *quality control* results are conducted to determine compliance of quality standards to overall quality objectives
	2.4 A quality management system is maintained to enable effective recording and communication of quality issues and outcomes to a higher project authority and stakeholders
3. Implement project quality improvements	3.1 Processes are reviewed and agreed changes implemented continually throughout the project life cycle to ensure continuous improvement to quality
	3.2 Project outcomes are reviewed against performance criteria to determine the effectiveness of quality management processes and procedures
	3.3 Lessons learned and recommended *improvements* are identified, documented and passed on to a higher project authority for application in future projects

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Quality objectives may include:	• requirements from the client and other stakeholders • requirements from a higher project authority • negotiated trade-offs between cost, schedule and performance • those quality aspects which may impact on customer satisfaction
A quality management plan may include:	• established processes • authorisations and responsibilities for quality control • quality assurance • continuous improvement

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Quality management methods, techniques and tools may include:	• group work activities • brainstorming • benchmarking • charting processes • ranking candidates • defining control • undertaking benefit/cost analysis • processes that limit and/or indicate variation • control charts • flowcharts • histograms • pareto charts • scattergrams • run charts
Quality control may include:	• monitoring conformance with specifications • recommending ways to eliminate causes of unsatisfactory performance of products or processes • monitoring of regular inspections by internal or external agents
Improvements may include:	• formal practices, such as total quality management or continuous improvement • improvement by less formal processes which enhance both the product quality and processes of the project, for example client surveys to determine client satisfaction with project team performance

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that they have taken responsibility for quality management of projects. This will include evidence of managing the work of others within the project team with respect to quality.

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Specific Evidence Requirements

Required knowledge and understanding include:

- broad knowledge and understanding of:
  - the principles of project quality management and their application
  - acceptance of responsibilities for project quality management
  - use of quality management systems and standards
  - the place of quality management in the context of the project life cycle
  - appropriate project quality management methodologies; and their capabilities, limitations, applicability and contribution to project outcomes

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- project management
- quality management
- planning and organising
- communication and negotiation
- problem-solving
- leadership and personnel management
- monitoring and review skills
- attributes:
  - analytical
  - attention to detail
  - able to maintain an overview
  - communicative
  - positive leadership

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit

Communicating ideas and information (3)

- communicating to lead a team, including negotiating and developing reports
- communicating verbally, including making presentations, and participating in meetings, questioning and discussions

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Collecting, analysing and organising information (2)	• tracking, monitoring and controlling quality of the project • applying relevant skills associated with reviewing the project
Planning and organising activities (2)	• planning own work and that of project team members
Working in a team (3)	• leading and representing the project team • working with others, including external parties/clients and project team members
Using mathematical ideas and techniques (1)	• using calculation skills associated with data manipulation involved in project including financial data
Solving problems (3)	• applying problem-solving skills as required to address problems arising in managing the project • assisting others to solve problems arising within project
Using technology (2)	• using word processing packages, spreadsheets, databases and other packages to produce written correspondence and reports of project activities, financial reporting and data collation • using specific project management software tools • using assistive technology, if required
Innovation skills (2)	• using review process to inform future activity in project management
Products that could be used as evidence include:	• documentation produced in managing projects such as: – lists of quality objectives, standards, levels and measurement criteria – records of inspections, recommended rectification actions and quality outcomes – management of quality management system and quality management plans – application of quality control, quality assurance and continuous improvement processes – records of quality reviews – lists of lessons learned and recommended improvements

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Processes that could be used as evidence include:	• how quality requirements and outcomes were determined for projects • how quality tools were selected for use in projects • how team members were managed throughout projects with respect to quality within the project • how quality was managed throughout projects • how problems and issues with respect to quality and arising during projects were identified and addressed • how projects were reviewed with respect to quality management • how improvements to quality management of projects have been acted upon
Resource implications for assessment include:	• access to workplace documentation
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • examples of projects where the candidate has managed quality within projects
Integrated competency assessment means:	• this unit should be assessed with other project management units at a Diploma qualification, as applicable to the candidate's management role in projects

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BSBPM506A Manage project human resources

Unit Descriptor

This unit specifies the outcomes required to undertake human resource management (HRM) within projects. It involves planning for human resources, implementing staff training and development, and managing the project team and stakeholders.

Competency Field

Business management services

Domain

Project management

Application of the Competency

A project manager usually performs this function. The functions performed by a program manager to manage human resources within multiple projects are addressed in BSBPM606A Direct human resources management of multiple projects/programs.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Implement human resource and stakeholder planning activities	1.1 Resource requirements for individual tasks are determined, with input from stakeholders and guidance from a higher project authority, to determine project staffing levels and required competencies
	1.2 *Project organisation and structure* designated by a higher authority is established to align individual and group competencies with project tasks
	1.3 Project stakeholders are identified and their expectations verified in order to quantify project outcomes
	1.4 *Staff* are allocated to the project with the approval of a higher project authority to meet work requirements throughout the project life cycle
	1.5 *HRM methods, techniques and tools* are developed and used to implement HRM procedures and plans to ensure clarity of understanding and ongoing human resource management
2. Implement staff training and development	2.1 Designated staff responsibilities, authority and individual performance measurement criteria are communicated to the project team and other relevant stakeholders to ensure clarity of understanding of the work and to provide a basis for ongoing assessment

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	2.2	Ongoing development and training of project team members is identified, planned, approved by a higher authority and implemented to achieve HRM and overall project objectives
	2.3	Individuals' performance is measured against agreed criteria and actions are initiated to overcome shortfalls in performance and encourage career progression
3. Manage the project team and stakeholders	3.1	Processes to promote continuous improvement of staff are implemented and actions taken to improve staff and overall project effectiveness
	3.2	Internal and external influences on individual and project team member performance and morale are monitored and reported to a higher project authority, if necessary, for remedial action
	3.3	Established procedures for interpersonal communication, counselling and conflict resolution are implemented to maintain a positive working environment
	3.4	Stakeholder expectations are continually reviewed to resolve expectation variance and ensure the project is on track to deliver expected outcomes
	3.5	Inter-project and intra-project conflict is identified and managed to minimise impact on achievement of project objectives
	3.6	Human resource and stakeholder management issues and recommended improvements are identified, documented and passed on to a higher project authority for application in future projects

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Project organisation and structure may be affected by established organisation responses	• relevant legislation, such as anti-discrimination, equal employment opportunity, affirmative action and occupational health and safety

to external influences such as:	• workplace bargaining • accepted work practices
Staff may come from:	• within the organisation, such as staff on loan from other projects • external to the organisation, such as consultants, auditors and quality assurance specialists
HRM methods, techniques and tools may include established organisation responses to:	• individual and group competency identification and development • HRM forecasts, staffing plans and job descriptions • staff recruitment and reallocation • performance monitoring, assessment and reporting • conflict resolution

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that they have taken responsibility within projects for human resource management for the projects. This will include evidence of managing the work of others within the project team in the area of human resource management.

Specific Evidence Requirements

Required knowledge and understanding include:	• broad knowledge and understanding of: – the importance of HRM in the project management environment – established organisational policies, standards and methods required to achieve HRM outcomes – the use of established HRM selection, assignment, training, performance evaluation and motivation tools – the conflict and stress issues associated with individuals responsible for project management – human resource matrix management environment – HRM outcomes, critical success and failure criteria and HRM performance measures – the application of interpersonal skills – assessment of interpersonal strengths and weaknesses

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- the differences in work content, processes and risk that affect HRM requirements in the various phases of the project life cycle

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- project management
- human resources management
- planning and organising
- communication and negotiation
- problem-solving
- leadership and personnel management
- monitoring and review skills
- attributes:
  - empathetic
  - able to maintain an overview
  - communicative
  - positive leadership

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit

Communicating ideas and information (3)	• communicating to lead a team, including negotiating and developing reports • communicating verbally, including making presentations, and participating in meetings, questioning and discussions
Collecting, analysing and organising information (2)	• tracking and monitoring of project • applying relevant skills associated with reviewing the project
Planning and organising activities (2)	• planning own work and that of project team members
Working in a team (3)	• leading and representing the project team • working with others, including external parties/clients and project team members

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Using mathematical ideas and techniques (1)	• using calculation skills associated with data manipulation involved in project including financial data
Solving problems (3)	• applying problem-solving skills as required to address problems arising in managing the project • assisting others to solve problems arising within project
Using technology (2)	• using word processing packages, spreadsheets, databases and other packages to produce written correspondence and reports of project activities, financial reporting and data collation • using specific project management software tools • using assistive technology, if required
Innovation skills (2)	• using review process to inform future activity in project management

Products that could be used as evidence include:

- documentation produced in managing projects:
  - current and future requirements for competency within the project team
  - staffing levels and competencies related to tasks
  - job descriptions including measures of performance
  - project organisation charts
  - staff recruitment and selection criteria
  - team and individual responsibilities, levels of authority and performance assessment criteria
  - responsibility assignment matrix
  - HRM plans and procedures
  - records of internal and external influences on HRM performance
  - HRM lessons learned

Processes that could be used as evidence include:

- how human resources requirements were determined for projects
- how required human resources were allocated to and/or selected for projects
- how team members were managed throughout projects with respect to human resources management within the project
- how human resources were managed throughout projects including required training and development
- how problems and issues with respect to human resources and arising during projects were identified and addressed

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	• how projects were reviewed with respect to human resources management • how improvements to human resources management of projects were acted upon
Resource implications for assessment include:	• access to workplace documentation
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • examples of projects where candidate has managed human resources within projects
Integrated competency assessment means:	• that this unit should be assessed with other project management units at a Diploma qualification as applicable to the candidate's management role in projects

BSBPM507A Manage project communications

Unit Descriptor

This unit specifies the outcomes required to link people, ideas and information at all stages in the project life cycle. Project communications management ensures the timely and appropriate generation, collection, dissemination, storage and disposal of project information through formal structures and processes. It aids in decision making and the control of informal communication networks to facilitate the achievement of project objectives.

Competency Field

Business management services

Domain

Project management

Application of the Competency

The communications management function covers planning communication processes, managing project related information and reporting requirements, and assessing communications management outcomes against planned outcomes.

A project manager usually performs this function. The functions performed by a program manager to manage communications within multiple projects are addressed in BSBPM607A Direct communications management of multiple projects/programs.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Plan communications processes	1.1 Information requirements are identified, documented and analysed, with input from stakeholders and guidance of a higher project authority, as the basis for communications planning
	1.2 Within *delegated authority*, an agreed communications management plan is developed to ensure clarity of understanding and achievement of project objectives throughout the project life cycle
	1.3 Designated *project management information system*, structure and procedures are established and maintained to ensure the quality, validity, timeliness and integrity of information and communication
2. Manage information	2.1 The generation, gathering, storage, retrieval, analysis and dissemination of information by project staff and stakeholders is managed within established systems and procedures to aid decision making processes throughout the project life cycle

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	2.2 Designated information validation processes are implemented, modified, monitored and controlled to optimise quality and accuracy of data
	2.3 Agreed *communication networks* between project staff, client and other stakeholders are implemented and maintained to ensure effective communications at appropriate levels throughout the project life cycle
3. Manage project reporting	3.1 Communication and information management system problems are identified and reported to a higher project authority, and agreed remedial actions are implemented to ensure project objectives are met
	3.2 Customer relationships are maintained within established guidelines to ensure clarity of understanding of objectives and to reduce conflict throughout the project life cycle
4. Assess communications management outcomes	4.1 Finalisation activities are conducted to ensure agreed ownership of, and responsibility for, information collected
	4.2 Project outcomes are reviewed to determine the effectiveness of management information and communications processes and procedures
	4.3 Lessons learned and recommended improvements are identified, documented and passed on to a higher project authority for application in future projects

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Delegated authority means that activities may:	• be done independently within broad guidance or by taking the lead of a team • involve consultation with other project members, teams and internal stakeholders

	• involve the selection, use and supervision of appropriate communications management methods and tools • be conducted routinely or as changing circumstances dictate • take into account internal organisational change and external environmental change
A *Project Management Information System (PMIS)* is:	• a means for communicating knowledge about the project and provides a systematic approach to the storing, searching and retrieval of information relevant to the project • and may include: • simple manual systems • complex computer-based systems • modified systems to cater for unique project requirements
Communication networks may include:	• formal networks • informal networks • specific networks • the organisation's communication networks • client organisation and end users

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that they have taken responsibility within projects for managing communications. This will include evidence of managing the work of others within the project team with respect to communications.

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Specific Evidence Requirements

Required knowledge and understanding include:

- broad knowledge and understanding of:
  - the principles of communications management and their application
  - acceptance of responsibilities for communications management
  - maintenance of project management information systems and communications networks
  - drafting, vetting, approving, obtaining endorsement and forwarding reports to a higher authority
  - the place of communications management in the context of the project life cycle and other project management functions
  - appropriate communication management technologies; their capabilities, limitations, applicability and contribution to project outcomes

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- project management
- planning and organising
- communication and negotiation
- problem-solving
- leadership and personnel management
- monitoring and review skills
- attributes:
  - organised
  - able to maintain an overview
  - communicative
  - positive leadership

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Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit

Communicating ideas and information (3)	• communicating to lead a team, including negotiating and developing reports • communicating verbally, including making presentations, and participating in meetings, questioning and discussions
Collecting, analysing and organising information (2)	• tracking, monitoring and control of project communications • applying relevant skills associated with reviewing the project
Planning and organising activities (2)	• planning own work and that of project team members
Working in a team (3)	• leading and representing the project team • working with others, including external parties/clients and project team members
Using mathematical ideas and techniques (1)	• using calculation skills associated with data manipulation involved in project including financial data
Solving problems (3)	• applying problem-solving skills as required to address problems arising in managing the project • assisting others to solve problems arising within project
Using technology (2)	• using word processing packages, spreadsheets, databases and other packages to produce written correspondence and reports of project activities, financial reporting and data collation • using specific project management software tools • using assistive technology, if required
Innovation skills (2)	• using review process to inform future activity in project management

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Products that could be used as evidence include:

- documentation produced in managing projects such as:
  - communications management plans
  - PMIS structure and procedures
  - progress reports
  - records of collection, validation, storage, retrieval, analysis and/or dissemination of information
  - records of meetings
  - post-validation process modifications
  - communications networks
  - records of communications problems and solutions

Processes that could be used as evidence include:

- how information requirements were determined for projects
- how communication plans and associated processes were developed for projects
- how team members were managed throughout projects with respect to communications management within the project
- how information was managed during projects
- how project reporting processes were managed during projects
- how problems and issues with respect to communications and arising during projects were identified and addressed
- how projects were reviewed with respect to communications management
- how improvements to communications management of projects have been acted upon

Resource implications for assessment include:

- access to workplace documentation

Validity and sufficiency of evidence requires:

- that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment
- examples of projects where the candidate has managed communications within projects

Integrated competency assessment means:

- this unit should be assessed with other project management units at a Diploma qualification, as applicable to the candidate's management role in project as part of an integrated assessment activity

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BSBPM508A Manage project risk

Unit Descriptor

This unit specifies the outcomes required to manage risk within a project in order to avoid adverse effects on project outcomes. It covers determining, monitoring and controlling project risks, and assessing risk management outcomes.

Competency Field

Business management services

Domain

Project management

Application of the Competency

A project manager usually performs this function. The functions performed by a program manager to manage risks within multiple projects are addressed in BSBPM608A Direct risk management of multiple projects/programs.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Determine project risks	1.1 *Risks* are identified, documented and analysed, in consultation with stakeholders and a higher project authority, as the basis for risk planning
	1.2 Within *delegated authority*, established *risk management techniques and tools* are used to analyse risks and assess options, and preferred risk approaches are recommended to a higher authority
	1.3 Plans are developed, agreed with stakeholders, and communicated to ensure clarity of understanding and ongoing management of risk factors
	1.4 Designated *risk management processes and procedures* are established to enable effective management and communication of risk events, responses and results
2. Monitor and control project risk	2.1 Project is managed in accordance with established project and risk management plans to ensure a common approach to the achievement of objectives
	2.2 Progress is monitored against project plans to identify variances and *recommend responses* to a higher project authority for remedial action
	2.3 Agreed risk responses are implemented and plans modified to reflect changing project objectives in an environment of uncertainty
3. Assess risk management outcomes	3.1 Project outcomes are reviewed to determine effectiveness of risk management processes and procedures

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	3.2 Risk issues and recommended improvements are identified, documented and passed on to a higher project authority for application in future projects

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Risks may be:	• potential • perceived • actual • likely/probable
Delegated authority refers to planning and activities that may:	• be done independently within broad guidance or by taking the lead of a team • involve consultation with other project members, teams and internal stakeholders • involve the selection, use and supervision of appropriate risk management methods, tools and techniques • be conducted routinely or as changing circumstances dictate
Risk management techniques and tools may include:	• calling upon personal experience and/or subject matter experts • conducting or supervising qualitative and/or quantitative risk analysis, such as schedule simulation, decision analysis, contingency planning and alternative strategy development • using specialist risk analysis tools to assist in the decision making process
Risk management processes and procedures may include:	• setting key milestones at significant points during the project and at completion • measurement of actual progress against planned milestones • recording and reporting of major variance

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- implementation of risk control trigger mechanisms
- communication with stakeholders, dispute resolution, and modification procedures

Recommended responses to variations may be made:

- independently or with higher project authority endorsement if necessary
- regularly throughout the project life cycle
- in consultation with project team members, section heads, project manager and stakeholders
- taking into account internal organisational change and external environmental change

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that they have taken responsibility within projects for risks associated with the projects. This will include evidence of managing the work of others within the project team with respect to risk management within the project.

Specific Evidence Requirements

Required knowledge and understanding include:

- broad knowledge and understanding of:
  - uncertainty and the means of its measurement
  - personal attitudes to uncertainty and risk, and how they might affect the project's approach to risk management
  - the place of risk management in the context of the project life cycle
  - appropriate risk management methodologies, their capabilities, limitations, applicability and outcomes

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- project management
- risk management
- planning and organising
- communication and negotiation
- problem solving
- leadership and personnel management

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- monitoring and review skills
- attributes:
  - attention to detail
  - able to maintain an overview
  - positive leadership
  - analytical
  - organised

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit

Communicating ideas and information (3)	• communicating to lead a team, including negotiating and developing reports • communicating verbally, including making presentations, and participating in meetings, questioning and discussions
Collecting, analysing and organising information (2)	• tracking and monitoring the project • applying relevant skills associated with reviewing the project
Planning and organising activities (2)	• planning own work and that of project team members
Working in a team (3)	• leading and representing the project team • working with others including external parties/clients and project team members
Using mathematical ideas and techniques (1)	• using calculation skills associated with data manipulation involved in project including financial data
Solving problems (3)	• applying problem-solving skills as required to address problems arising in managing the project • assisting others to solve problems arising within project
Using technology (2)	• using word processing packages, spreadsheets, databases and other packages to produce written correspondence and reports of project activities, financial reporting and data collation • using specific project management software tools

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	• using assistive technology, if required
Innovation skills (2)	• using review process to inform future activity in project management
Products that could be used as evidence include:	• documentation produced in managing projects such as: – application of lessons learned from previous project(s) in planning a new project – lists of potential risk events – records of identification and prioritisation of risk events – risk management plans – reports of variance and recommendations for action – details of conduct of risk reappraisal – risk management lessons learned
Processes that could be used as evidence include:	• how risks were identified and documented for projects • how a risk management plan was developed for projects • how team members were managed throughout projects with respect to risk management • how risk was managed during projects • how risks arising during projects were identified and addressed • how projects were reviewed with respect to risk management • how improvements to risk management of projects have been acted upon
Resource implications for assessment include:	• access to workplace documentation
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • examples of projects where the candidate has managed risks within projects
Integrated competency assessment means:	• that this unit should be assessed with other project management units at a Diploma qualification, as applicable to the candidate's management role in projects

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BSBPM509A Manage project procurement

Unit Descriptor

This unit specifies the outcomes required to undertake procurement and contract management within projects. It covers determining procurement requirements, establishing agreed procurement processes, conducting contracting and procurement activities, and managing finalisation processes.

Competency Field

Business management services

Domain

Project management

Application of the Competency

A project manager usually performs this function. The functions performed by a program manager to manage procurement within multiple projects are addressed in BSBPM609A Direct procurement and contracts of multiple projects/programs.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Determine procurement requirements	1.1 Procurement requirements are identified, with input from stakeholders and guidance of a higher project authority, as the basis for procurement planning and the contract
	1.2 Within *delegated authority*, an agreed *procurement management plan* and strategies are established and maintained to ensure clarity of understanding between stakeholders and achievement of project objectives
2. Establish agreed procurement processes	2.1 Information is obtained from established sources capable of fulfilling procurement requirements to determine how project objectives can be met
	2.2 Established selection processes and selection criteria (including OHS requirements) are adopted and communicated to stakeholders and prospective contractors or suppliers to ensure fair competition
	2.3 Approvals for procurement processes to be used for the project are obtained from a higher project authority to enable formal discussions to be conducted
3. Conduct contracting and procurement activities	3.1 Agreed proposals and/or specifications are communicated to prospective contractors or suppliers to ensure clarity of understanding of project objectives

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	3.2 Responses are evaluated and preferred contractors or suppliers are selected in accordance with current legal requirements and agreed selection processes
	3.3 Negotiations are conducted with the preferred contractor or supplier, with guidance of a higher project authority if necessary, to agree on contract terms and conditions, establish common goals and minimise uncertainty
4. Implement the contract and/or procurement	4.1 Established procurement management plan is implemented and *modifications* made with a higher project authority approval to ensure a common approach to achievement of objectives
	4.2 Progress is reviewed and agreed changes are managed to ensure timely completion of tasks, resolution of conflicts and achievement of project objectives within the legal framework of the contract
	4.3 Procurement management problems are identified and reported to a higher project authority, and agreed remedial actions are implemented to ensure project objectives are met
5. Manage contract and procurement finalisation procedures	5.1 Finalisation activities are conducted to ensure contract deliverables meet contractual requirements
	5.2 Project outcomes are reviewed using available *procurement records and information* to determine the effectiveness of contracting and procurement processes and procedures
	5.3 Lessons learned and recommended improvements are identified, documented and passed on to a higher project authority for application in future projects

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice

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Delegated authority refers to planning and activities that may:	• be done independently within broad guidance or by taking the lead of a team • involve consultation with other project members, teams and internal stakeholders • involve the selection, use and supervision of appropriate procurement management methods, tools and techniques • be conducted routinely or as changing circumstances dictate • take into account internal organisational change and external environmental change
A *procurement management plan* identifies and outlines*:*	• procurement objectives, strategies and timelines • resources to be obtained against a timeline and budget • processes to be used for procurement of resources • responsibilities for staff/team members • how procurement arrangements are communicated to stakeholders • the process for monitiring and evaluating procurement related to the project
Modifications may be made:	• independently or with higher project authority endorsement if necessary • regularly throughout the project life cycle • in consultation with project team members, section heads, project manager and stakeholders • taking into account internal organisational change and external environmental change
Procurement records and information may include:	• product specifications • procurement management plan • contract documentation • contractor selection criteria, processes and recommendations • contract negotiation documentation • contract change proposals and approvals • test and acceptance procedures and documentation • contract discharge and asset disposal register

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Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that they have taken responsibility within projects for procurement and contract management. This will include evidence of managing the work of others within the project team with respect to procurement and contract management.

Specific Evidence Requirements

Required knowledge and understanding include:

- broad knowledge and understanding of:
  - the principles of procurement management and their application
  - the principles of contracts and contractual legal requirements from the project management perspective
  - the selection of appropriate formal arrangements and the legal implications of such agreements
  - contract negotiation skills
  - procurement management processes and procedures
  - OHS legislative requirements

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- project management
- contract management
- planning and organising
- communication and negotiation
- problem-solving
- leadership and personnel management
- negotiation
- monitoring and review skills
- attributes:
  - attention to detail
  - able to maintain an overview
  - thoroughness
  - positive leadership

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Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit

Communicating ideas and information (3)	• communicating to lead a team, including negotiating and developing reports • communicating verbally, including making presentations, and participating in meetings, questioning and discussions
Collecting, analysing and organising information (2)	• tracking and monitoring the project • applying relevant skills associated with reviewing the project
Planning and organising activities (2)	• planning own work and that of project team members
Working in a team (3)	• leading and representing the project team • working with others, including external parties/clients and project team members
Using mathematical ideas and techniques (1)	• using calculation skills associated with data manipulation involved in project including financial data
Solving problems (3)	• applying problem-solving skills as required to address problems arising in managing the project • assisting others to solve problems arising within project
Using technology (2)	• using word processing packages, spreadsheets, databases and other packages to produce written correspondence and reports of project activities, financial reporting and data collation • using specific project management software tools • using assistive technology, if required
Innovation skills (2)	• using review process to inform future activity in project management

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Products that could be used as evidence include:	• product specifications • procurement management plans • contract documentation • records of evaluation and selection of preferred contractors • records of involvement in contract negotiations • progress measurement and conflict resolution process records • contract change procedures and documentation • records of test and acceptance procedures and documentation • records of contract discharge procedures and documentation • records of procurement lessons learned and recommended improvements
Processes that could be used as evidence include:	• how procurement requirements were identified and documented for projects • how procurement management plan was developed for projects • how team members were managed throughout projects with respect to management of procurement within the project • how procurement was managed during projects • how procurement problems and issues arising during projects were identified and addressed • how contract finalisation activities were managed • how project was reviewed with respect to procurement management • how improvements to procurement management for projects have been acted upon
Resource implications for assessment include:	• access to workplace documentation
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • examples of projects where the candidate has managed procurement within projects
Integrated competency assessment means:	• that this unit should be assessed with other project management units at a Diploma qualification, as applicable to the candidate's management role in projects of

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BSBPM601A Direct the integration of multiple projects/programs

Unit Descriptor

This unit specifies the outcomes required to manage the integration of all functions of project management in a program or multiple project context.

This covers managing conflicting priorities between projects, directing project managers in re-aligning projects within the program, directing the internal environment with the needs and expectations of the external environment, and directing projects within the program throughout their life cycle.

Competency Field

Business management services

Domain

Project management

Application of the Competency

A *program* is defined as a set of interrelated projects, each of which has a project manager. *Multiple projects* (sometimes referred to as a portfolio of projects) means a number of projects which may or may not be related but which are all managed by the same person as a program to achieve a common organisational objective(s).

For the purposes of this unit both types will be referred to as a program and managers as program managers.

The functions performed by a project manager to manage integration within individual projects are addressed in BSBPM501A Manage application of project integrative processes.

It should be noted that conflicting priorities between projects are managed with higher project authority support, in this case project governance committees or senior management.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Direct integration of all functions of project management	1.1 Project managers are supported in project stakeholder analysis to determine the influence of others on project outcomes
	1.2 The requirements of all projects and the multiple inter-relationships of *project management functions* are analysed, rationalised and integrated to determine agreed, *achievable program objectives* that align to organisational goals, strategies and objectives as stated in strategic planning documentation

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	1.3 Project plans are reviewed, rationalised and, when approved, integrated into a structured, cohesive program plan for ongoing program management
	1.4 Integrated program control mechanisms are derived from project plans to establish program control requirements
	1.5 Project plans are used to develop consolidated program budgets, schedules and interdependencies, and to identify program risks
2. Direct the internal project environment to meet external needs and expectations	2.1 The *internal project working environment* is directed to ensure project managers' work is conducted effectively throughout multiple, aligned project life cycles
	2.2 Links are established and maintained to direct the alignment between projects and organisation objectives within the program
	2.3 Project proposals (scope definitions) are evaluated against the organisation's strategic objectives
	2.4 Conflicting requirements of individual projects are coordinated and directed to achieve program objectives
	2.5 Where necessary individual project objectives are modified to achieve overall program objectives
	2.6 The impact of *external environmental influences* on individual projects is coordinated to achieve program objectives
3. Direct projects throughout project life cycles	3.1 All project managers are directed to provide project phases, approval points, review points and other milestones, to allow program integration
	3.2 Project baselines are established and progress is reported in relation to baselines, to measure program performance throughout the business reporting cycle
	3.3 Project baselines are reviewed progressively to ensure nominated benefits are consistent with organisational expectations
	3.4 *Finalisation plans, procedures and activities* are directed to ensure final outcomes are met and that projects meet agreed program objectives
	3.5 Projects finalised in a program management reporting period are reviewed to evaluate benefits to the business
	3.6 Integration management lessons learned are passed to higher project authority and feedback is provided for application to other projects

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Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
The project management functions are:	• scope • time • cost • quality • human resources • communications • risk • procurement
Achievable program objectives may include:	• the client's objectives, for example maximum value for money, or maximum performance at minimum cost • the supplier/contractor's objectives, for example minimum cost, minimum time and acceptable quality • end-user(s) objectives, for example maximum performance as well as optional extras • higher project authorities' objectives (that is, management/projects governance group), for example reputation, retention of market share, buying into market within the constraints of performance, time, cost, quality, resources and skills • the organisation's objectives, for example quantifiable benefits
The *internal project working environment* may include:	• physical location of projects within the organisation • physical location of program project managers, personnel and equipment • computing support and integrated computer networks • personal working conditions (physical and emotional)

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	• teams and interpersonal dynamics • identity and differentiation of the program's projects within the larger environment
The *external environmental influences* may include:	• the parent organisation, enterprise and/or industry • employee representative groups, such as unions, professional associations and lobby groups • political, environmental and societal influences • public and media interest • the physical environment, for example geography, ecology and environmental sensitivity • external stakeholder expectations
Finalisation plans, procedures and activities may include:	• transition of responsibility/ownership of projects' deliverables/products for those projects that concluded in a reporting/management period (such as financial year) • assessment of stakeholder satisfaction against expectations • evaluation of projects for benefits derived • evaluation of projects completed in a reporting period • review of success/failure criteria for projects completed in a given reporting period • settling of financial liabilities for projects completed in a consolidated budget context • forwarding program progress report to higher projects governance authority

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that they have taken responsibility across multiple projects or a program for integrating all project management functions (scope, time, cost, quality, human resources, communications, risk and procurement) within and between projects. This will include evidence of directing the work of project managers and others in the internal and external environment.

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Specific Evidence Requirements

Required knowledge and understanding include:

- a detailed knowledge and understanding of:
  - the project process, the project life cycle, the relationship between project phases, and interdependencies/relationships between projects
  - program planning and control procedures, resource levelling and rationalisation management and risk management
  - a range of suitable methodologies, techniques and tools available to both project managers and to program managers
  - the need for and application of leadership and management within a project's management environment
  - internal and external environment factors that may affect the program of projects

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- project and program management
- high level leadership and personnel management
- analytical skills
- communication skills
- planning and organising
- maintaining an overview of projects/programs
- delegation
- attributes:
  - communicative
  - positive leadership

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit

Communicating ideas and information (3)

- communicating to manage teams, including negotiating and developing reports
- communicating verbally, including making presentations, and participating in meetings, questioning and discussions

Collecting, analysing and organising information (3)	• tracking and monitoring multiple projects • applying relevant skills associated with reviewing multiple projects
Planning and organising activities (3)	• planning own work and directing that of project managers
Working in a team (3)	• managing project managers • working with others, including external parties/clients and project managers and team members
Using mathematical ideas and techniques (1)	• using calculation skills associated with data manipulation involved in projects including financial data
Solving problems (3)	• applying problem-solving skills as required to address problems and conflicting requirements arising in managing programs of multiple projects • assisting others to solve problems arising within their projects
Using technology (2)	• using word processing packages, spreadsheets, databases and other packages to produce written correspondence and reports of program activities, financial reporting and data collation • using specific project and program management software tools • using assistive technology, if required
Innovation skills (2)	• using review process to inform future activity in the project's management environment
Products that could be used as evidence include:	• documentation produced in managing the program/directing projects such as: – records of rationalisation/integration processes to determine achievable program objectives – program plans and control mechanisms covering the coordination of multiple projects' outcomes – maintenance of processes for linking and coordination of program control mechanisms – records of organisation and other environmental impact analysis – program (integrated) schedules and budgets – records of coordination and tracking of multiple projects interdependencies and program resource levelling

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	– records of establishment, measurement and reporting of progress in relation to program baselines – records of use of benefits identification, tracking and realisation tables – program finalisation plans (aligned to organisational management periods, such as the financial year) – lists of integration management lessons learned
Processes that could be used as evidence include:	• how program planning is coordinated through direction of projects • how projects are monitored during the program life cycle • how problems and conflicting requirements arising in the program are addressed and managed • how multiple projects' progress is measured throughout the program • how projects are finalised in the context of a program management/reporting period • how projects are reviewed and lessons learned are used in future projects within the program
Resource implications for assessment include:	• access to workplace documentation
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • examples of where the candidate has managed integration across projects in a program
Integrated competency assessment means:	• that this unit should be assessed with other project management units at an Advanced Diploma qualification, as applicable to the candidate's management role in projects/programs

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BSBPM602A Direct the scope of multiple projects/programs

Unit Descriptor

This unit specifies the outcomes required to direct the scope of projects within a program or multiple projects context. It covers the management of authorising projects, and defining, planning and managing the program scope.

Competency Field

Business management services

Domain

Project management

Application of the Competency

A *program* is defined as a set of interrelated projects, each of which has a project manager. *Multiple projects* (sometimes referred to as a portfolio of projects) means a number of projects which may or may not be related but which are all managed by the same person as a program to achieve a common organisational objective(s).

For the purposes of this unit both types will be refered to as a program and managers as program managers.

The functions performed by a project manager to manage scope within individual projects are addressed in BSBPM502A Manage project scope.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Authorise projects	1.1 *Needs* are analysed, in consultation with client and other stakeholders if necessary, to justify each project and for the designation of project managers
	1.2 Project selection and prioritisation are conducted within guidelines provided by, or under direction of, a higher project (governance) authority
	1.3 *Project authorisation recommendations* are made to a higher project authority as the basis for future projects management activity and commitment of resources and effort
2. Define and plan program scope	2.1 Projects' objectives, major deliverables and resource requirements are defined at the project and program level, and are confirmed with the governance group or a higher project authority
	2.2 Measurable projects' outcomes and benefits are determined and agreed, to enable quantified evaluation of program performance
	2.3 Scope definition, *scope management* strategies and plans are developed, agreed and communicated

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	2.4	Program scope is aligned to business requirements and organisational strategy
3. Manage program scope	3.1	Regular program reviews are conducted to measure *project performance* and to ensure that stated program and business/strategic objectives are met
	3.2	*Change management system* is established and maintained to form the basis of ongoing scope management
	3.3	The effects of potential, perceived and actual projects' *scope changes* are reviewed and action is taken to ensure that project and program objectives are achieved or modified
	3.4	Projects' outcomes are compared against defined program scope and aligned strategic objectives
	3.5	Results of program outcomes are communicated
	3.6	Scope management lessons learned are passed to a higher project authority and feedback is provided for application in planning and implementation of later projects within the program

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Needs may be:	• outcome-oriented, for example to fulfil needs • product-oriented, for example to acquire new computer systems or buildings • improvement-oriented, for example to find a better ways of doing something • activity-oriented, for example to stage major sporting events
Project authorisation	• broad details of required project outcomes and objectives

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recommendations may include:	• major projects phases, activities and milestones that will require timing coordination across the program (particularly as new approved projects enter the program) • project managers' terms of reference, and authorisations and limitations directed by the program manager • relationship between multiple project objectives and the programs and therefore strategic objectives of the organisation
Scope management may include:	• progressive refinement of scope throughout multiple project life cycles • controlling program scope creep, that is incremental increases to scope to accommodate wishes rather than needs • managing factors which influence changes to scope • determining that a scope change has occurred or is about to occur • managing scope changes when they occur • managing the effect of scope changes on other areas and on achievement of multiple project objectives
Project performance may include:	• measurement of time and resources spent on the projects, as compared to baseline data • use of tools and techniques to manage and measure projects' progress in terms of time and resources
Change management system may include:	• documentation • risk analysis • impact analysis • configuration management • change to control boards/committees
Scope change reviews may include:	• major elements of the program liable to change, for example deletion of a line of business endeavour, new projects prioritising program and deletion of poorly performing projects • program documentation, including plans, integrated schedules, integrated budgets and integrated (program) risk analysis • formal agreements, that is contracts, sub-contracts and memoranda of understanding

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Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that they have taken responsibility across multiple projects or a program for directing and authorising scoping of the projects. This will include evidence of managing the work of project managers and others working within project teams.

Specific Evidence Requirements

Required knowledge and understanding include:

- a detailed knowledge and understanding of the place of scope management in the context of a projects delivery environment, particularly the relationship between program scope and:
  - the performance, time, cost and quality of projects
  - the processes of justification and authorisation of projects
  - the importance of scope definition especially during projects start-up, and ongoing throughout the project life cycles
  - the importance of, and techniques related to, project performance measurement and management
  - the importance of, and techniques related to, the definition of multiple projects
  - the impact of balancing and levelling resource requirements for achieving overall organisational objectives
  - the principles of change management and their application
  - appropriate scope management methodologies, techniques and tools, their applicability, capabilities and limitations

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Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- program management
- high level leadership and personnel management
- analytical skills
- communication skills
- planning and organising
- maintaining an overview of projects/programs
- delegation
- attributes:
  - communicative
  - positive leadership

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit

Communicating ideas and information (3)	• communicating to manage teams, including negotiating and developing reports • communicating verbally, including making presentations, and participating in meetings, questioning and discussions
Collecting, analysing and organising information (3)	• tracking and monitoring a program of projects • applying relevant skills associated with reviewing projects • collating multiple projects' information for business reporting against strategic objectives
Planning and organising activities (3)	• planning own work and that of project managers
Working in a team (3)	• managing the program and key personnel (project managers and business level personnel) • working with others including external parties/clients
Using mathematical ideas and techniques (1)	• using calculation skills associated with data manipulation involved in projects including financial data

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Solving problems (3)	• applying problem-solving skills as required to address problems and conflicting requirements arising in managing the program • assisting others to solve problems arising within the program
Using technology (2)	• using word processing packages, spreadsheets, databases and other packages to produce written correspondence and reports of program activities, financial reporting and data collation • using specific program management software tools • using assistive technology, if required
Innovation skills (2)	• using review process to inform future activity in program management
Products that could be used as evidence include:	• documentation produced in managing the program and directing projects such as: – requirements definition and needs analysis documentation – documentation aligning business directions to program and therefore multiple project objectives – program charter/directive – program manager's terms of reference – program scope statement – program definition terms of reference – work breakdown, product breakdown and organisation breakdown structures – project performance management records – formal agreements, that is contracts, sub-contracts, memoranda of understanding – records of management of change management system and procedures – records of program scope lessons learned
Processes that could be used as evidence include:	• how project authorisations were managed • how project scopes were defined in a program context and agreement gained between program manager and the business • how expected program performance was determined • how project managers were given direction throughout projects with respect to the scope of the projects • how the need for scope changes within projects were identified and authorised • how projects/programs were reviewed with respect to the scope of the projects

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	• how improvements to scope management of projects have been used in future projects
Resource implications for assessment include:	• access to workplace documentation
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • examples of where the candidate has managed program scope and directed scope across projects
Integrated competency assessment means:	• that this unit should be assessed with other project management units at an Advanced Diploma qualification, as applicable to the candidate's management role in projects/programs

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BSBPM603A Direct time management of multiple projects/programs

Unit Descriptor

This unit specifies the outcomes required to direct time management across projects, so that key deliverables meet project and program schedules.

Competency Field

Business management services

Domain

Project management

Application of the Competency

A *program* is defined as a set of interrelated projects, each of which has a project manager. *Multiple projects* (sometimes referred to as a portfolio of projects) means a number of projects which may or may not be related but which are all managed by the same person as a program to achieve a common organisational objective(s).

For the purposes of this unit both types will be refered to as a program and managers as program managers.

The functions performed by a project manager to manage time and scheduling within individual projects are addressed in BSBPM503A Manage project time.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Direct project schedules development	1.1 The duration and effort, sequence and interdependencies of major activities and milestones are determined from individual project plans to form the basis of the program schedule
	1.2 Project managers are directed by the use of *time management* methods, *techniques and tools*, preferred schedules, *time management plans*, resource allocation and financial requirements to enable continuing update and refinement of the program schedule
	1.3 Project schedules are agreed, formalised and communicated to stakeholders as the basis for planning, implementation and review of progress
2. Manage program schedules	2.1 Mechanisms are developed, implemented and modified to monitor, control, record and report actual progress in relation to the agreed schedule and plans
	2.2 Ongoing analysis is conducted to identify and forecast variances and trends, and to develop responses so that projects meet their schedules

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	2.3 Durations of key activities and interdependencies between projects are managed to enable financial and resource rationalisation across the program of projects, to meet strategic expectations within the management/reporting period of the program
	2.4 Progress is reviewed and the schedule is refined throughout the program life cycle to ensure consistency with changing scope, objectives and constraints related to time and resource availability
	2.5 Responses to perceived, potential or actual projects' schedule changes are authorised to achieve program objectives
3. Analyse time management outcomes	3.1 Multiple project and program outcomes are reviewed from available *records* and information and analysed to determine the effectiveness of the schedule and time management processes
	3.2 Lessons learned are passed to a higher project authority and feedback is provided for application in planning and implementation of later projects within the program

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Time management may	• be done by taking the lead in a team environment • involve consultation with project managers and selective involvement of stakeholders • involve the direction of the use of appropriate time management methods, processes, procedures, tools and techniques • be conducted non-routinely to meet complex, changing circumstances • take into account the impact of organisational and environmental change on the program's projects and vice versa

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Techniques and tools may include	• using personal experience and/or subject matter experts • directing qualitative and/or quantitative time analysis, such as schedule simulation, decision analysis, contingency planning and alternative strategy development • collating and using the products of specialist time analysis to make program-wide time management decisions • assessing and reporting the potential impact of multiple project timings and their potential for change on the program, and therefore the organisation
Time management plans may include:	• program consolidated schedule • sub-schedules • important milestones and critical interdependencies between projects • alternative schedule management strategies and actions • formal arrangements • responsibility assignment • contingency plans • assigned schedule management responsibilities
Records may take the form of:	• lists of variances, trends and forecasts of potential schedule events • Gantt, PERT and other scheduling charts • diaries, incident logs, occurrence reports and other such documentation • records of analysis, evaluation of options and selection processes • records of responses, results and lessons learned • program and/or organisation files and records

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

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Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that they have taken responsibility across multiple projects or a program for managing time and scheduling of the projects. This will include evidence of managing the output of work of others including project managers and a range of stakeholders including higher management.

Specific Evidence Requirements

Required knowledge and understanding include:

- a detailed knowledge and understanding of:
  - the principles of program management and its application
  - organisational policies, guidance and attitudes to time management
  - the relationship between time, cost and resources to the project management framework
  - delegation and management of responsibilities for time management
  - direction of project schedules management
  - use of the schedule as a control mechanism
  - appropriate time management and estimating methodologies, techniques and tools, their capabilities and limitations, applicability and outcomes
  - the differences in work content, risk, processes, tools and techniques that apply in the various phases of recurring project life cycles within a volatile program environment

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- program management
- time management and scheduling
- high level leadership and personnel management
- analytical skills
- communication skills
- planning and organising
- maintaining an overview of projects/programs
- delegation
- attributes:
  - communicative
  - positive leadership

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Key competencies or generic skills relevant to this unit	The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit: Level (1) represents the competence to undertake tasks effectively Level (2) represents the competence to manage tasks Level (3) represents the competence to use concepts for evaluating and reshaping tasks The bulleted points provide examples of how the key competencies can be applied for this unit
Communicating ideas and information (3)	• communicating to manage teams, including negotiating and developing reports • communicating verbally, including making presentations, and participating in meetings, questioning and discussions
Collecting, analysing and organising information (3)	• tracking and monitoring major milestones of projects • applying relevant skills associated with reviewing projects and programs
Planning and organising activities (3)	• planning own work and that of project managers
Working in a team (3)	• managing the projects delivery environment, down to project mangers and up to a higher authority • working with others, including external parties/clients • being the link between expectations of management and the aspirations, constraints and issues of project managers and their teams
Using mathematical ideas and techniques (1)	• using calculation skills associated with data manipulation involved in the program including financial data
Solving problems (3)	• applying problem-solving skills as required to address problems and conflicting requirements arising in managing the program • assisting others to solve problems arising within projects
Using technology (2)	• using word processing packages, spreadsheets, databases and other packages to produce written correspondence and reports of program activities, financial reporting and data collation • using specific program management software tools • using assistive technology, if required
Innovation skills (2)	• using review process to inform future activity in program management

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Products that could be used as evidence include:

- documentation produced in managing the program and directing projects such as:
  - application of lessons learned from previous project(s) in authorising new projects
  - time management strategies
  - time management analysis, forecasts and predictions
  - program work breakdown structure
  - key activity schedules
  - application of precedence and dependency principles to determine major activities rationalisation and interdependencies for the program
  - program schedule
  - records of regular and ad hoc communication about schedules to stakeholders
  - application of and modifications to monitoring, review and reporting mechanisms
  - application of actual progress against planned progress
  - records of corrective actions taken against variances in the program schedule
  - records of lessons learned

Processes that could be used as evidence include:

- how project schedules management was directed and the program schedule managed
- how agreement on schedules was reached with relevant parties
- how project managers were directed throughout the project with respect to time management within projects
- how schedules were coordinated and managed throughout the program
- how problems and issues with time management were identified and addressed
- how projects were reviewed with respect to time management of the program
- how improvements to time management of projects were used in future projects within the program

Resource implications for assessment include:

- access to workplace documentation

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Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • examples of where the candidate has managed time and scheduling across multiple projects/programs
Integrated competency assessment means:	• that this unit should be assessed with other project management units at an Advanced Diploma qualification, as applicable to the candidate's management role in projects/programs

BSBPM604A Direct cost management of multiple projects/programs

Unit Descriptor

This unit specifies the outcomes required to analyse, coordinate, and refine the budgets of multiple projects that contribute to an overall program budget. It covers directing project budget development, managing program costs, and directing financial completion of projects.

Competency Field

Business management services

Domain

Project management

Application of the Competency

A *program* is defined as a set of interrelated projects, each of which has a project manager. *Multiple projects* (sometimes referred to as a portfolio of projects) means a number of projects which may or may not be related but which are all managed by the same person as a program to achieve a common organisational objective(s).

For the purposes of this unit both types will be refered to as a program and managers as program managers.

The functions performed by a project manager to manage costs within individual projects are addressed in BSBPM504A Manage project costs.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Direct project budget development	1.1 Project managers are directed to determine resource requirements for individual tasks, in consultation with appropriate stakeholders, to develop a project budget which contributes to the program budget
	1.2 Project *cost estimation* is directed to enable budgets and cost management processes to be developed for the project life cycles
	1.3 Cost strategies and *cost management plans* are directed and authorised to ensure clarity of understanding and ongoing *management of project finances* and the program budget overall
2. Manage program costs	2.1 *Cost management systems* are developed and maintained to direct monitoring of actual expenditure and to control costs throughout multiple project life cycles and for the program overall

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	2.2	Analysis is conducted, options are evaluated and responses to project cost variations are implemented to maintain control over changing financial and overall program objectives
	2.3	Internal and external influences on program costs are monitored and, where necessary, approval is sought from business management for changes to the approved program budget
3. Direct financial completion	3.1	Direction is provided for project *finalisation activities* to achieve integrated financial and physical project completion within program and therefore client and organisational expectations
	3.2	Project outcomes are reviewed from available *records* at the finalisation of each project, and information is analysed to determine the effectiveness of cost management systems
	3.3	Program lessons learned are kept as a resource for future reference and, where necessary, referred to a higher project authority for application in planning strategic direction changes and business outcomes for future projects

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Cost estimation may take account of:	• the stage in each project's life cycles • the availability of information at the time • contingencies to allow for identified risks and uncertainty • overhead and profit margin • government regulations, industry codes of practice and organisational influences

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Cost management plans and activities throughout program management may:	• be done independently or by taking the lead in a team environment • involve consultation with, and selective involvement of, appropriate project stakeholders • involve the selection, modification and supervision of the use of appropriate cost management methods, processes, procedures, tools and techniques • be conducted non-routinely to meet complex and changing circumstances • take into account the impact of organisational and environmental change on the project/program and vice versa
Management of project finances may include:	• approval processes • financial authorisations/delegations • invoice procedures • audit and review • communication, reports and briefs
Development of *cost management systems* may involve:	• the application of personal judgement • the modification of program methodologies and procedures • cost modelling and estimating • financial analysis, for example benefit-cost analysis, cash flow analysis, earned value analysis • program obligation and expenditure forecasting and long-term planning • authorising and revising financial delegations • progress and financial change management
Finalisation activities may include:	• comparison of one project's cost management outcomes with success rates of other projects and with overall (organisation) budgetary expectations • direction of project team managers in their: – transition of responsibility/ownership of project deliverables/products – transfer of assets to the client or originating owner – warranty requirements resolution – final audit/reconciliation – settling of financial liabilities – close-out of account codes and other financial documentation

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Records may take the form of:

- records of potential and actual costs
- financial summaries
- budgets, commitment and expenditure
- cost management plans
- reports to a higher authority
- financial charts and graphs
- program and/or organisation files and records
- cost management lessons learned

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that they have taken responsibility across multiple projects or a program for direction of cost management of the inherent projects and for management of the program budget. This will include evidence of managing the work of project managers and those working within the projects' delivery environment.

Specific Evidence Requirements

Required knowledge and understanding include:

- a detailed knowledge and understanding of:
  - the principles of program project cost management and its application
  - organisational policies, guidance and attitudes to cost management
  - the relationship of cost, time and resources to the project management framework
  - delegation and management of responsibilities for cost management
  - direction of project development and management of program budgets
  - use of the budget as a control mechanism
  - appropriate cost management and estimating methodologies, techniques and tools, their capabilities and limitations, applicability and outcomes
  - the differences in work content, risk, processes, tools and techniques that apply in the various phases of the recurring project life cycles within a volatile program environment

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Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- program management
- financial management
- high level leadership and personnel management
- analytical skills
- communication skills
- planning and organising
- maintaining an overview of projects/programs
- delegation
- attributes:
  - communicative
  - positive leadership

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit

Communicating ideas and information (3)	• communicating to manage teams, including negotiating and developing reports • communicating verbally, including making presentations, and participating in meetings, questioning and discussions
Collecting, analysing and organising information (3)	• tracking and monitoring major cost milestones of projects • applying relevant skills associated with reviewing projects
Planning and organising activities (3)	• planning own work and that of project managers
Working in a team (3)	• managing the projects delivery environment including being the interface between the business and the requirements of project team managers and their teams • working with others including external parties/clients

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Using mathematical ideas and techniques (2)	• using calculation skills associated with data manipulation involved in the program, including financial data
Solving problems (3)	• applying problem-solving skills as required to address problems and conflicting requirements arising in managing the program • assisting others to solve problems arising within projects
Using technology (2)	• using word processing packages, spreadsheets, databases and other packages to produce written correspondence and reports of program activities, financial reporting and data collation • using specific program management software tools • using assistive technology, if required
Innovation skills (2)	• using review process to inform future activity in project management
Products that could be used as evidence include:	• documentation produced in managing program/directing projects such as: – application of lessons learned from previous project(s) when authorising new projects entering the program – cost estimates at cost element and summary levels – cost management plans, strategies, analysis, forecasts and predictions – cost breakdown structures – financial feasibility studies – consolidated program budgets and expenditure forecasts – program cashflow profiles – records of analysis of financial variance and trends, and remedial actions taken – financial transition plans – budget control mechanisms – records of direction to project managers for clearance of project liabilities and disposal of project assets – aggregated project finalisation reports with program conclusions and recommendations – records of cost management lessons learned – financial audit documentation

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Processes that could be used as evidence include:	• how resource requirements and associated costs were rationalised/levelled for the program • how program budgets, cost strategies and cost management plans were updated, rationalised and reported • how project managers were directed throughout projects with respect to the costs of projects • how problems and issues with respect to costs arising during projects have been resolved • how projects finalisation was reviewed for program update and reporting • how projects have been reviewed with respect to cost management success criteria • how improvements to cost management of projects have been used in future projects within the program
Resource implications for assessment include:	• access to workplace documentation
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • examples of where the candidate has managed costs across multiple projects/programs
Integrated competency assessment means:	• that this unit should be assessed with other project management units at an Advanced Diploma qualification, as applicable to the candidate's management role in projects/programs

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BSBPM605A Direct quality management of multiple projects/programs

Unit Descriptor

This unit specifies the outcomes required to direct quality management across multiple projects and within the overall program. It covers directing the development of quality requirements, directing quality assurance management and reviewing and improving the quality of projects and the program.

Competency Field

Business management services

Domain

Project management

Application of the Competency

A *program* is defined as a set of interrelated projects, each of which has a project manager. *Multiple projects* (sometimes referred to as a portfolio of projects) means a number of projects which may or may not be related but which are all managed by the same person as a program to achieve a common organisational objective(s).

For the purposes of this unit both types will be refered to as a program and managers as program managers.

The functions performed by a project manager to manage quality within individual projects are addressed in BSBPM505A Manage project quality.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Direct quality requirements development	1.1 Reviews and consultation are directed to ensure that the organisation's quality objectives, standards, levels and criteria are applied at the project level in consultation with stakeholders
	1.2 *Quality management* methods, techniques and tools are modified to the requirements of the program, as necessary, and directed for project team use
	1.3 Program quality criteria are identified and communicated to project managers for implementation
	1.4 Project managers are directed to develop and implement quality plans that will be used as the basis for performance measurement
2. Direct project quality assurance management	2.1 Results of project activities and product performance are analysed to determine compliance with agreed quality standards throughout the project life cycles within the program

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	2.2 Causes of unsatisfactory results are identified in consultation with project managers, and through clients and stakeholders, and appropriate actions are initiated to enable continuous improvement in quality outcomes
	2.3 Inspections of quality processes are directed and results are analysed to determine compliance with quality standards set for the overall program and the organisation
	2.4 A *quality management system* is developed and maintained to enable effective management and communication of quality issues and outcomes
3. Improve program and projects' quality	3.1 The quality management system is reviewed and modified continually throughout project activities to ensure project team commitment to continuous improvement of quality processes and outcomes
	3.2 Project outcomes review and analysis against performance criteria are directed to determine the effectiveness of the quality management system
	3.3 *Quality improvements* and lessons learned are aggregated and used to benefit the business and later program initiatives/projects and, where appropriate, are passed to organisational management for consideration in support of strategic planning and (re)direction

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Quality management may:	• be done independently or by taking the lead in a team environment • involve consultation with and direction to project managers regarding their selective involvement of appropriate project stakeholders • involve the overall direction to project managers for the selection, modification and supervision of the use of appropriate quality management methods, processes, procedures, tools and techniques

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	• be conducted non-routinely to meet complex and changing circumstances • take into account the impact of organisational and environmental change on the program and vice versa
A *quality management system* may include:	• ISO 9000 Series or as designed to meet the specific needs of the project
Quality improvement may include:	• formal practices, such as total quality management or continuous improvement • less formal processes which improve both the product quality and processes of the project, for example client surveys to determine client satisfaction with projects performance

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that they have taken responsibility across multiple projects or a program for quality management of the projects. This will include evidence of managing the work of project managers and those working within the project teams.

Specific Evidence Requirements

Required knowledge and understanding include:	• a detailed knowledge and understanding of: – the principles of project quality management and their application, and its relation to the organisation's quality management system – the need for quality management in the project and its place in the overall organisation – the importance of quality in trade-offs with scope, time and cost – quality policies and standards applicable in the projects management environment – quality management tools, including their capabilities, limitations, applicability and outcomes – what are quality outcomes, critical success and failure criteria and quality performance measures
Required skills and attributes include:	• ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities • project management, including delegation skills

- quality management
- client relationship management and client focus
- high level leadership and personnel management
- analytical skills
- communication skills
- planning and organising skills
- maintaining an overview of projects/programs
- attributes:
- communicative
- attention to detail/thoroughness
- positive leadership

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit

Communicating ideas and information (3)	• communicating to manage complex environments, including negotiating and developing reports • communicating verbally, including making presentations, and participating in meetings, questioning and discussions
Collecting, analysing and organising information (3)	• tracking and monitoring multiple projects • collating key projects' information for program tracking and reporting • applying relevant skills associated with reviewing projects outcomes
Planning and organising activities (3)	• planning own work and that of project managers, and the output of a wide range of stakeholders related to the program
Working in a team (3)	• managing the projects delivery environment • working with others including external parties/clients and project managers
Using mathematical ideas and techniques (1)	• using calculation skills associated with data manipulation involved in the program, including financial data
Solving problems (3)	• applying problem-solving skills as required to address problems and conflicting requirements arising in managing the program

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	• assisting others to solve issues within projects
Using technology (2)	• using word processing packages, spreadsheets, databases and other packages to produce written correspondence and reports of program activities, financial reporting and data collation • using specific program management software tools
Innovation skills (2)	• using review process to inform future activity in program management
Products that could be used as evidence include:	• documentation produced in managing a program such as: – lists of program quality stakeholders and quality objectives – records of project selection and prioritisation processes and use of quality tools – alignment 'threads' between the quality management system and procedures documentation applied in projects – benefits quantification criteria and tracking documentation – stakeholder expectations lists, and means of review across the program – quality management plans – records of direction for inspections, modifications and quality outcomes – records of selection, management and direction for project teams' modifications of quality management system – quality control, quality assurance and continuous improvement processes – documentation of quality management lessons learned – relation of project quality outcomes to the continuous improvement objectives of the program and the organisation
Processes that could be used as evidence include:	• how quality requirements and outcomes were determined for projects and the program overall • how quality tools were selected for use in projects • how project managers were directed throughout the program with respect to their management of quality within projects • how quality was managed throughout projects • how quality-related problems and issues that are beyond the delegated authority of the project managers were processed, supported and resolved

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	• how projects were directed for review with respect to quality management • how improvements to quality management of the program and projects have been used in future projects within the program
Resource implications for assessment include:	• access to workplace documentation
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • examples of where the candidate has managed quality across projects/programs
Integrated competency assessment means:	• this unit should be assessed with other project management units at an Advanced Diploma qualification, as applicable to the candidate's management role in projects/programs

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BSBPM606A Direct human resources management of multiple projects/programs

Unit Descriptor

This unit specifies the outcomes required to direct human resource organisation and staffing within multiple projects and across the program, to direct project managers in relation to staff performance, and to provide leadership within the program.

Competency Field

Business management services

Domain

Project management

Application of the Competency

A *program* is defined as a set of interrelated projects, each of which has a project manager. *Multiple projects* (sometimes referred to as a portfolio of projects) means a number of projects which may or may not be related but which are all managed by the same person as a program to achieve a common organisational objective(s).

For the purposes of this unit both types will be refered to as a program and managers as program managers.

The functions performed by a project manager to manage human resources within individual projects are addressed in BSBPM506A Manage project human resources.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Direct human resources management and responsibility assignment	1.1 Human resource requirement analysis for projects is directed, to determine numbers and skills levels required for the overall program
	1.2 Stakeholder assessment is directed to establish a basis for stakeholder management within projects and the overall program
	1.3 Responsibility assignment is directed for projects' activities and tasks and authorisation protocols are established
2. Manage program organisation and staffing	2.1 Resource requirements for projects are determined, in consultation with project managers and appropriate stakeholders, to establish program staffing levels, allocation to projects and required competencies
	2.2 *Project organisation and structure* is directed for development to optimise alignment of individual and group competencies within projects

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	2.3 *Staff* are recruited, allocated to projects or reallocated within the organisation, within agreed delegated authority, to meet competency requirements throughout the program
	2.4 *Human resources management (HRM) methods, techniques and tools* are directed to project managers, and modified for program requirements
	2.5 Organisational HRM system and HRM processes are utilised across projects
3. Direct project staff performance management	3.1 Performance measurement criteria are agreed for clarity of roles and responsibilities and ongoing assessment
	3.2 Systems for ongoing *development and training* of personnel across the program are established and implemented by project managers
	3.3 Individuals' performance is measured against agreed criteria and actions are authorised to overcome shortfalls in performance and encourage career progression
4. Lead teams	4.1 A system of continuous improvement of staff is managed to enhance program effectiveness
	4.2 Individual and team performance and morale levels are analysed and action is taken where necessary
	4.3 Procedures for interpersonal communication, counselling and conflict resolution are directed to project managers and results are reviewed to maintain and promote a positive working environment
	4.4 Intra-organisational and intra-project conflict is identified and positively managed to maximise achievement of program objectives
	4.5 HRM lessons learned are aggregated for application in planning and later projects in the program and, where appropriate, passed to others for consideration in strategic planning and direction

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

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Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Project organisation and structure may be affected by external influences such as:	• legislation, including anti-discrimination, equal employment opportunity, affirmative action and occupational health and safety • workplace bargaining • accepted work practices
Staff may come from:	• within the organisation, such as staff on loan from other programs/projects • external to the organisation, such as consultants, collaborative or alliance agencies and external authorities
Human resources management methods, techniques and tools may include:	• individual and group competency identification and development • HRM forecasts, staffing plans and job descriptions • staff recruitment and reallocation • performance monitoring, assessment and reporting • conflict resolution
HRM *development and training* may be formal or informal, and may include:	• project management • general management • project administration, for example computer applications, filing systems • specialist/professional skills and career progression • interpersonal communications • team building and group activities

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that they have taken responsibility across multiple projects or a program for human resources management of the projects. This will include evidence of managing the work of others including project managers and those external to the program and/or organisation who contribute to, or benefit from, the outcomes of the projects.

Specific Evidence Requirements

Required knowledge and understanding include:

- a detailed knowledge and understanding of:
  - the importance of human resources management in the project management environment
  - policies, standards and methods required to achieve HRM outcomes
  - the use of HRM selection, assignment, training, performance evaluation and motivation tools, including their capabilities, limitations, applicability and outcomes
  - the conflict and stress issues associated with individuals managing projects especially within a human resource matrix management environment
  - HRM outcomes, critical success and failure criteria and HRM performance measures
  - the application of interpersonal skills
  - assessment of interpersonal strengths and weaknesses
  - application of relevant strategies, for example leadership, decision making, group dynamics, change management, learning/coaching
  - the differences in work content, processes and risk that affect HRM requirements in the various phases of the project life cycle

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Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- program and project management
- human resources management
- high level management and leadership
- analytical skills
- communication skills
- planning and organising
- maintaining an overview of projects/programs
- delegation
- attributes:
  - communicative
  - positive leadership

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit

Communicating ideas and information (3)	• communicating to manage teams, including negotiating and developing reports • communicating verbally, including making presentations, and participating in meetings, questioning and discussions
Collecting, analysing and organising information (3)	• tracking and monitoring key milestones of multiple projects • applying relevant skills associated with reviewing outcomes of multiple projects
Planning and organising activities (3)	• planning own work and that of project managers
Working in a team (3)	• managing the program delivery environment • working with others, including external parties/clients and project managers
Using mathematical ideas and techniques (1)	• using calculation skills associated with data manipulation involved in the program, including financial data

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Solving problems (3)	• applying problem-solving skills as required to address problems and conflicting requirements arising across the program • authorising issues resolution arising within projects
Using technology (2)	• using word processing packages, spreadsheets, databases and other packages to produce written correspondence and reports of project activities, financial reporting and data collation • using specific program management software tools • using assistive technology, if required
Innovation skills (2)	• using review process to inform future activity in program management
Products that could be used as evidence include:	• documentation produced in managing the program such as: – current and future requirements for competency within the program – staffing levels and competencies related to projects – job descriptions, including measures of performance – program organisation charts – staff recruitment and selection criteria – teams and individual responsibilities, levels of authority and performance assessment criteria – high-level program responsibility assignment matrix – master stakeholder management plan – HRM system, including performance measurement and reporting, and conflict resolutions procedures – HRM plans, including training and development plans – records of analysis of internal and external influences on HRM performance – HRM lessons learned

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Processes that could be used as evidence include:	• how human resources requirements were authorised for projects • how required human resources were allocated to and/or selected for projects • how project managers were managed throughout the program with respect to human resources management • how responsibility assignment was directed, managed, and authorised • how human resources management was directed throughout the program including required training and development • how stakeholders were managed and their expectations tracked and met • how problems and issues with respect to human resources arising during projects were communicated to the program level and resolved • how projects outcomes were reviewed with respect to human resources management • how improvements to project human resources management have been/will be used in future projects within the program
Resource implications for assessment include:	• access to workplace documentation
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • examples of where the candidate has directed human resources management across projects
Integrated competency assessment means:	• that this unit should be assessed with other project management units at an Advanced Diploma qualification, as applicable to the candidate's management role in projects/programs

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BSBPM607A Direct communications management of multiple projects/programs

Unit Descriptor

This unit specifies the outcomes required to provide the critical link between people, ideas and information at all stages in the life-cycles of multiple projects across a program.

It covers directing project communications and information management, managing program communications and analysing communications management outcomes for projects and programs.

Competency Field

Business management services

Domain

Project management

Application of the Competency

A *program* is defined as a set of interrelated projects, each of which has a project manager. *Multiple projects* (sometimes referred to as a portfolio of projects) means a number of projects which may or may not be related but which are all managed by the same person as a program to achieve a common organisational objective(s).

For the purposes of this unit both types will be refered to as a program and managers as program managers.

The functions performed by a project manager to manage communications within individual projects are addressed in BSBPM507A Manage project communications.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Direct planning of project communications	1.1 Project information requirements are directed for identification, documentation and analysis, in consultation with appropriate stakeholders, as the basis for projects and program communications planning
	1.2 *Communications management plans and activities* are directed for development and management to ensure clarity of understanding and achievement of multiple project objectives at all levels (organisation, operations, program and projects)
	1.3 *Project management information system*, structure and procedures are developed to maintain the quality, validity, timeliness and integrity of information and communication across the program and in regard to organisational (strategic) management

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2. Direct management of project information	2.1	The generation, gathering, storage, retrieval, analysis and dissemination of information by project staff and stakeholders is directed to improve decision making processes and the communications throughout the program and between the projects
	2.2	*Information validation* processes are directed for development, management and modification to ensure consistent quality and accuracy of data across the program
3. Manage program communications	3.1	Formal and informal communication networks between the organisation's management structure, program, projects and key stakeholders are developed and managed to ensure effectiveness throughout the multiple life cycles of projects within the program
	3.2	Potential, perceived and actual problems with communication and management information systems are addressed through project managers, and remedial actions are authorised to ensure project, program, and organisations objectives are met
	3.3	Customer relationships beyond the delegated responsibility of project managers are managed to ensure clarity of understanding of objectives and to minimise conflict throughout the program
4. Analyse communications management outcomes	4.1	Project finalisation activities are directed to ensure ownership of, and responsibility for, information outcomes
	4.2	Project outcomes are reviewed and analysed to determine the effectiveness of management information and communications systems
	4.3	Lessons learned across multiple projects are aggregated and used for other applications in the program and the organisation

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

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Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Communications management plans and activities by a program manager may:	• be done independently or by taking the lead in a multiple teams environment • involve consultation with project managers and selective involvement of appropriate project stakeholders • involve the selection, modification and supervision of appropriate communications management methods, processes, procedures and tools • be conducted non-routinely to meet complex, changing circumstances • take into account the impact of organisational and environmental change on the program and vice versa
The project management information system (PMIS) may include:	• networks structure, processes and procedures for storage and communication of information • individual and group authority and responsibilities • hierarchy of decision making responsibility/authority • limitations and restrictions on subject matter and methods of communication • types, responsibilities, distribution and regularity of reports, as well as follow-up procedures
Information validation processes may be influenced by the:	• age of the information • level of detail of information (too much or too little) • language (translated or converted data may need special attention) • changes to standards, regulations or limits since information was compiled • degree of exposure to mis-information and dis-information • potential impact of the information on the program outcome • cost of the validation process

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Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that they have taken responsibility across multiple projects or a program for communications management of the projects. This will include evidence of managing others' work including project managers and a range of stakeholders within, and external to, the organisation.

Specific Evidence Requirements

Required knowledge and understanding include:

- a detailed knowledge and understanding of:
  - the principles of communications management and their application
  - the importance of communications at all levels and at all times within the program, the organisation and the external environment
  - the establishment and maintenance of structured communication networks in a rapidly evolving technological environment involving computer-based, interpersonal and media-based methods of communication
  - appropriate communication management technologies; their capabilities, limitations and applicability
  - the contribution of communications to program and organisational outcomes
  - aggregating, commenting on, endorsing and forwarding reports to organisational management
  - feedback to multiple project teams

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- program management and delegation skills
- high level leadership and personnel management
- analytical skills
- communication skills
- planning and organising
- maintaining an overview of projects/programs
- attributes: communication and positive leadership

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Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit

Communicating ideas and information (3)	• communicating to manage a complex projects delivery environment, including negotiating, developing reports and conducting meetings • communicating verbally, including making presentations, chairing steering group meetings and questioning and discussing
Collecting, analysing and organising information (3)	• tracking and monitoring major outcomes and interdependencies of multiple projects • applying relevant skills associated with reviewing projects' outcomes
Planning and organising activities (3)	• planning own work and that of project managers
Working in a team (3)	• managing the projects delivery/program environment • working with others including external parties/clients and project managers
Using mathematical ideas and techniques (1)	• using calculation skills associated with data manipulation involved in projects, including financial data
Solving problems (3)	• applying problem-solving skills as required to address problems and conflicting requirements arising in managing the program • assisting others to solve problems arising within the program
Using technology (2)	• using word processing packages, spreadsheets, databases and other packages to produce written correspondence and reports of program activities, financial reporting and data collation • using specific program management software tools • using assistive technology, if required
Innovation skills (2)	• using review process to inform future activity in program management

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Products that could be used as evidence include:

- documentation produced in managing program such as:
  - communications management plans and strategies
  - project management information system
  - progress reports upwards and downwards within the program and organisation
  - records of meetings, outcomes and actions
  - formal briefs, presentations, media releases and newsletters
  - records of collection, validation, storage, retrieval, analysis and/or dissemination of information
  - validation processes and post-validation modifications
  - formal and informal communication networks
  - records of communications problems, analysis and solutions
  - records of communications management lessons learned

Processes that could be used as evidence include:

- how information requirements were determined for the program of projects
- how communication plans and associated processes were directed for development for projects
- how project team managers were managed throughout projects with respect to communications
- how information was managed across multiple projects within the program
- how project reporting processes were managed for multiple projects' outcomes across the program
- how communications problems and issues arising during projects were addressed
- how communications within the program were reviewed at finalisation
- how improvements to communications management of projects have been used in future projects entering the program

Resource implications for assessment include:

- access to workplace documentation

Validity and sufficiency of evidence requires:

- that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment
- examples of where the candidate has managed communications across projects

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Integrated competency assessment means:

- that this unit should be assessed with other project management units at an Advanced Diploma qualification, as applicable to the candidate's management role in projects/programs

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BSBPM608A Direct risk management of multiple projects/programs

Unit Descriptor

This unit specifies the outcomes required to manage the factors that might adversely affect multiple projects, the program and organisational outcomes. It covers directing the planning and management of project risks, managing risks to the overall program, and assessing risk management outcomes for the program and the organisation.

Competency Field

Business management services

Domain

Project management

Application of the Competency

A *program* is defined as a set of interrelated projects, each of which has a project manager. *Multiple projects* (sometimes referred to as a portfolio of projects) means a number of projects which may or may not be related but which are all managed by the same person as a program to achieve a common organisational objective(s).

For the purposes of this unit both types will be refered to as a program and managers as program managers.

The functions performed by a project manager to manage risk within individual projects are addressed in BSBPM508A Manage project risk.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Direct planning of project risk management	1.1 Potential, perceived and actual risk events are directed for identification, documentation and analysis, in consultation with project managers and appropriate stakeholders, as the basis for project *risk management planning*
	1.2 Project *risk management methods, techniques and tools* are selected and modified for project managers to analyse information, evaluate options and determine preferred risk approaches within the overall program environment
	1.3 Project *risk management plans* and strategies are directed for development, communication and implementing to ensure clarity of understanding and achievement of project objectives throughout the program

	1.4	A project risk management system is developed and maintained to enable effective management and communication of risk events, responses and results to stakeholders across projects within the program
2. Direct management of project risk and manage program risk	2.1	The program is managed in accordance with agreed project risk management plans
	2.2	Progress is reviewed, variance is analysed and risk responses are initiated to achieve program and multiple project objectives in changing environments
	2.3	Risks to multiple project outcomes are directed for monitoring, and remedial actions are authorised to achieve project objectives
3. Assess project and program risk management outcomes	3.1	Project outcomes are reviewed and analysed to assess the effectiveness of the project risk management system for multiple projects, program and organisational outcomes
	3.2	Lessons learned are aggregated, analysed and structured for feedback to project managers and senior management for strategic review and planning

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Risk management planning may:	• be done independently or by taking the lead in a multiple projects team environment • involve consultation with project managers and with selective involvement of stakeholders within and external to the organisation • involve the selection, modification and direction of the use of appropriate risk management methods processes, procedures, tools and techniques • be conducted substantially non-routinely to meet complex and changing circumstances

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	• take into account the impact of organisational and environmental change on the program and vice versa
Risk management methods, techniques and tools may involve:	• calling upon personal experience and/or subject matter experts • conducting or directing qualitative and/or quantitative risk analysis, such as schedule simulation, decision analysis, contingency planning and alternative strategy development • collating and using the products of specialist risk analysis to make program-wide risk management decisions • assessing and reporting the potential impact of multiple projects risk on the organisation
Risk management plans may include:	• potential risk events • preferred and alternative risk management strategies and actions • OHS risks • formal arrangements • responsibility assignment • contingency plans • assigned risk responsibilities

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that they have taken responsibility for risk management across multiple projects or a program. This will include evidence of managing the work of others including project managers and a range of stakeholders and contributing agencies both within and beyond the organisation.

Specific Evidence Requirements

Required knowledge and understanding include:	• a detailed knowledge and understanding of: – uncertainty and the means of its measurement – organisational policies, guidance and attitudes to risk management – personal attitudes to uncertainty and risk, and how they might impact on the program's and organisation's approach to risk management

- the place of project risk management in the context of the project life cycle and other project management functions
- appropriate project risk management methodologies, their capabilities, limitations, applicability and outcomes
- the differences in work content, risk, processes, tools and techniques that apply in the various phases of the project life cycle and of the program cycle and how these relate to business cycles, particularly financial

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- program management
- project risk management
- high-level leadership and personnel management
- analytical skills
- communication skills
- planning and organising
- maintaining an overview of projects/programs
- delegation
- attributes:
  - communicative
  - positive leadership

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit

Communicating ideas and information (3)	• communicating to manage teams, including negotiating and developing reports • communicating verbally, including making presentations, and participating in meetings, questioning and discussions
Collecting, analysing and	• tracking and monitoring multiple projects across the program

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organising information (3)	• applying relevant skills associated with reviewing projects in a program and a program-to-organisation context
Planning and organising activities (3)	• planning own work and that of project managers and a range of stakeholders both within and external to the organisation
Working in a team (3)	• managing multiple project teams in a projects delivery (program) environment • working with others, including external parties/clients and project managers
Using mathematical ideas and techniques (1)	• using calculation skills associated with data manipulation and interpretation involved in the program including quantitative risk (statistical) analysis
Solving problems (3)	• applying problem-solving skills as required to address problems and conflicting requirements arising in managing the program, particularly resolving cost of treatment versus consequence of failure equations for individual projects • assisting others to solve problems arising within the program
Using technology (2)	• using word processing packages, spreadsheets, databases and other packages to produce written correspondence and reports of program activities, financial reporting and data collation • using specific program management software tools
Innovation skills (2)	• using review process to inform future activity in program management
Products that could be used as evidence include:	• documentation produced in managing program/projects such as: – collated lists of potential risk events – records of identification and prioritisation of multiple project risk events – detailed records of project risk analysis, forecasts and predictions, and reappraisal – program risk management plans – details of development of, and direction to use, project risk management system – details of modifications to project risk management system, plans and procedures – documentation of formal risk management arrangements, for example contracts

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	– records of project risk management lessons learned and application in other projects – program risk management lessons learned
Processes that could be used as evidence include:	• how multiple project risks were identified and documented for projects • how project risk management plans were developed • how project managers were managed throughout projects with respect to project risk management across the program • how program risks were managed • how problems and issues with respect to project and program risk were resolved • how projects were reviewed with respect to risk management for impact on the program and the organisation • how improvements to project risk management have been used in future projects
Resource implications for assessment include:	• access to workplace documentation
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • examples of where the candidate has managed risk across projects/programs
Integrated competency assessment means:	• that this unit should be assessed with other project management units at an Advanced Diploma qualification, as applicable to the candidate's management role in projects/programs

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BSBPM609A Direct procurement and contracts of multiple projects/programs

Unit Descriptor

This unit specifies the outcomes required to direct the management of contracting activities across projects and programs. It covers setting up the contracting process, directing the management of contract and procurement processes, and finalising contracts for projects across the program.

Competency Field

Business management services

Domain

Project management

Application of the Competency

A *program* is defined as a set of interrelated projects, each of which has a project manager. *Multiple projects* (sometimes referred to as a portfolio of projects) means a number of projects which may or may not be related but which are all managed by the same person as a program to achieve a common organisational objective(s).

For the purposes of this unit both types will be refered to as a program and managers as program managers.

The functions performed by a project manager to manage procurement within individual projects are addressed in BSBPM509A Manage project procurement.

It should be noted that conflicting priorities between projects are managed with higher project authority support, in this case project governance committees or senior management.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Direct planning for project contracting and procurement	1.1 Product specifications and procurement requirements are directed for identification, analysis and prioritisation, in consultation with appropriate stakeholders, for procurement and contract planning
	1.2 *Procurement strategies, methods and management plans* are directed for development for project objectives throughout the program
2. Direct set up of contract and procurement process	2.1 Project managers are directed to source organisations that meet procurement requirements
	2.2 Selection processes and selection criteria are established, in consultation with stakeholders, and communicated to prospective contractors

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	2.3	Contract and procurement actions accord with organisation and program objectives
3. Direct management of contract and procurement process	3.1	Direction is provided for requirements of *proposals*, and communicated to prospective contractors
	3.2	Direction is provided for responses to be evaluated and preferred contractors to be selected in accordance with agreed selection processes
	3.3	Contract terms and conditions are directed for negotiation between client and preferred contractor
4. Direct management of contracts	4.1	Contract and procurement activities are directed for management in accordance with program contract and procurement management guidelines
	4.2	Direction is provided for regular reviews from available *records* and information, and variance is directed for analysis and changes are agreed for implementation
	4.3	Project managers are directed to work within the legal and organisational framework for contracts
	4.4	Potential, perceived and actual contractual conflicts are directed for identification and remedial actions are approved to minimise disruption
5. Direct finalisation of contracts	5.1	Finalisation activities are directed for management of contract deliverables in accordance with contractual and project and program requirements
	5.2	Project outcomes are directed for review and analysis to determine the effectiveness of contract and procurement processes and procedures
	5.3	Lessons learned are aggregated and used for application in planning and implementation of later projects within the program and, where appropriate, passed to organisational management for use in strategic planning

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

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Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Procurement strategies, methods and management plans may include:	• contract performance plans and an associated performance monitoring processes • contractor and sub-contractor responsibilities, controls and reporting relationships • procurement, test and acceptance procedures and payment schedules • conflict resolution processes • explanatory information (for example background, restrictions or expectations) relating to special terms and conditions planning for long lead-time items and critical program components, and transition plans
Proposals may take the form of:	• tenders • submissions • quotations • expressions of interest
Records may take the form of:	• product specifications • procurement management plans • contract analysis, evaluation of options and strategy development • contractor identification, evaluation and selection records • contract negotiation documentation, for example contract negotiation strategies, plans, team and individual directives • progress measurement and conflict resolution process records • development and management of contract change procedures • test and acceptance procedures • contract discharge procedures and outcomes • procurement management lessons learned

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Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that they have taken responsibility across the multiple projects or a program for direction of contract and procurement management. This will include evidence of managing the work of others, including project managers.

Specific Evidence Requirements

Required knowledge and understanding include:

- a detailed knowledge and understanding of:
  - the principles of contract and procurement management and their application
  - the principles of contracts and contractual legal requirements from the project and program management perspective
  - contract types, their capabilities, limitations, applicability and outcomes
  - personal and team oriented contract negotiation skills
  - contract and procurement management processes and procedures

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- project and program management
- high-level leadership and personnel management
- analytical skills
- communication skills
- planning and organising
- maintaining an overview of projects/programs
- delegation
- attributes:
  - communicative
  - thoroughness
  - positive leadership

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Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit

Communicating ideas and information (3)	• communicating to manage teams, including negotiating and developing reports • communicating verbally, including making presentations, and participating in meetings, questioning and discussions
Collecting, analysing and organising information (3)	• tracking and monitoring major outcomes of projects and therefore the program against organisational objectives • applying relevant skills associated with reviewing multiple projects and the program
Planning and organising activities (3)	• planning own work and that of project managers and stakeholders within/beyond the organisation
Working in a team (3)	• managing project teams in a projects delivery/program environment • working with others including external parties/clients and project managers
Using mathematical ideas and techniques (1)	• using calculation skills associated with data manipulation involved in the program, including financial data
Solving problems (3)	• applying problem-solving skills as required to address problems and conflicting requirements arising in managing the program • assisting others to solve problems arising within the program
Using technology (2)	• using word processing packages, spreadsheets, databases and other packages to produce written correspondence and reports of program activities, financial reporting and data collation • using specific program management software tools • using assistive technology, if required
Innovation skills (2)	• using review process to inform future activity in program management

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Products that could be used as evidence include:

- documentation produced in directing the management of multiple projects and the program such as:
  - records of product specifications
  - aggregated/synthesised procurement management plans
  - records of analysis, evaluation of options and procurement strategy development
  - contractor identification, evaluation and selection records
  - tendering documentation, evaluation criteria and selection processes
  - contract negotiation documentation, for example contract negotiation strategies, plans and team and individual directives or working documents
  - program impact records of project progress measurement and conflict resolution processes
  - program records of development and management of multiple project contract change procedures
  - program analysis of multiple project records of test and acceptance procedures
  - program records of contract discharge procedures and documentation
  - program records of procurement management lessons learned and application in other projects

Processes that could be used as evidence include:

- how procurement requirements were directed for identification and documentation for projects
- how procurement management plans were authorised for projects
- how project managers were managed throughout projects with respect to management of procurement within their projects
- how procurement was managed during multiple projects across the program
- how procurement problems and issues arising during multiple projects were addressed
- how contract finalisation activities were directed for management
- how contract and procurement management was reviewed in projects
- how improvements to contract procurement management have been used for future projects within the program

Resource implications for assessment include:

- access to workplace documentation

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Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • examples of where the candidate has managed procurements and contracts across projects/programs
Integrated competency assessment means:	• this unit should be assessed with other project management units at an Advanced Diploma qualification, as applicable to the candidate's management role in projects/programs

Business Services Training Package

BSB01

Volume 4C of 8

The contents of this volume refer only to the Endorsed Components
of BSB01 Business Services Training Package. This volume should not
be read in isolation but in the context of the Training Package as a whole
Please refer to the following page for details of other volumes in this Training Package.

This volume contains units of competency for

Strategic Management
Frontline Management

IBSA
INNOVATION & BUSINESS SKILLS AUSTRALIA

BSB01 Business Services Training Package

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Preliminary Information

Important Note to Users

Training Packages are not static documents; they are amended periodically to reflect the latest industry practices and are version controlled. It is essential that the latest version is always used.

Check the version number before commencing training or assessment

This Training Package is Version 4 – check whether this is the latest version by going to the National Training Information Service (www.ntis.gov.au) and locating information about the Training Package. Alternatively, contact Innovation and Business Skills Australia (www.ibsa.org.au) to confirm the latest version number.

Explanation of version number conventions

The primary release Training Package is Version 1. When changes are made to a Training Package, sometimes the version number is changed and sometimes it is not, depending on the extent of the change. When a Training Package is reviewed it is considered to be a new Training Package for the purposes of version control, and is Version 1. Do not confuse the version number with the Training Package's national code (which remains the same during its period of endorsement).

Explanation of the review date

The review date (shown on the title page and in the footer of each page) indicates when the Training Package is expected to be reviewed in the light of changes such as changing technologies and circumstances. The Training Package review date is not an expiry date. Endorsed Training Packages and their components remain current until they are reviewed or replaced.

Version modification history

The version details of this endorsed Training Package are in the table below. The latest information is at the top of the table.

Version	Release Date	Comments
4	**October 2004**	**Fields and domains** Version 4 includes all the fields and domains in Version 3 plus: - a new field of International Services which includes the new domain of International Trade/Business, - an expanded Business Management Services field with two new domains of Occupational Health and Safety (OHS) and Compliance Management, and - an expanded Common Business field to include 1 new unit. In total Version 4 BSB01 contains eight fields and twenty-four domains. **Qualifications added to BSB01 in Version 4** Version 4 includes all the qualifications in Version 3 plus the following six new qualifications. BSB30803 Certificate III in Business (International Trade) BSB42003 Certificate IV in Business (International Trade) BSB41603 Certificate IV in Occupational Health and Safety BSB51903 Diploma in International Business BSB51603 Diploma of Occupational Health and Safety BSB61003 Advanced Diploma of Occupational Health and Safety **Qualification Guide amendments** The Qualification Guide has been amended to include the new qualifications.

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Version	Release Date	Comments
		Units of competency This version includes all the units of competency provided in Version 3 plus the following additional fifty-seven new units of competency. BSBCMN421A Assist with compliance with OHS and other relevant laws BSBOHS401A Contribute to the implementation of a systematic approach to managing OHS BSBOHS402A Contribute to the implementation of the OHS consultation process BSBOHS403A Identify hazards and assess OHS risks BSBOHS404A Contribute to the implementation of strategies to control OHS risk BSBOHS405A Contribute to the implementation of emergency procedures BSBOHS406A Use equipment to conduct workplace monitoring BSBOHS501A Participate in the coordination and maintenance of a systematic approach to managing OHS BSBOHS502A Participate in the management of the OHS information and data systems BSBOHS503A Assist in the design and development of OHS participative arrangements BSBOHS504A Apply principles of OHS risk management BSBOHS505A Manage hazards in the work environment BSBOHS506A Monitor and facilitate the management of hazards associated with plant BSBOHS507A Facilitate the application of principles of occupational health to control OHS risk BSBOHS508A Participate in the investigation of incidents BSBOHS601A Develop a systematic approach to managing OHS BSBOHS602A Develop OHS information and data analysis and reporting and recording processes BSBOHS603A Analyse and evaluate OHS risk BSBOHS604A Apply ergonomic principles to control OHS risk BSBOHS605A Apply occupational hygiene principles to control OHS risk BSBOHS606A Develop and implement crisis management processes BSBOHS607A Advise on application of safe design principles to control OHS risk BSBOHS608A Conduct an OHS audit BSBOHS609A Evaluate an organisation's OHS performance BSBCOM401A Organise and monitor the operation of compliance management system BSBCOM402A Implement processes for the management of breaches in compliance requirements BSBCOM403A Promote and liaise on compliance requirements, systems and related issues BSBCOM501A Identify and interpret compliance requirements BSBCOM502A Evaluate and review compliance BSBCOM503A Develop processes for the management of breaches in compliance requirements BSBCOM504A Create a culture of compliance within an organisation BSBCOM601A Research compliance requirements and issues BSBCOM602A Develop and create compliance requirements BSBCOM603A Plan and establish compliance management systems BSBINT301A Apply knowledge of the international trade environment to complete work BSBINT302A Apply knowledge of legislation relevant to international trade to complete work BSBINT303A Organise the importing and exporting of goods BSBINT304A Assist in the international transfer of services BSBINT305A Prepare business documents for the international trade of goods BSBINT306A Apply knowledge of international finance and insurance to complete work requirements BSBINT401A Research international business opportunities BSBINT402A Market goods and services internationally BSBINT403A Research international markets BSBINT404A Implement international client relationship strategies BSBINT405A Apply knowledge of import and export international conventions, laws and finance BSBINT406A Promote compliance with legislation BSBINT407A Prepare business advice on export Free on Board Value BSBINT408A Prepare business advice on the taxes and duties for international trade transactions

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Version	Release Date	Comments
		BSBINT409A Plan for international trade BSBINT501A Profile international markets BSBINT502A Analyse consumer behaviour for specific international markets BSBINT503A Analyse data from international markets BSBINT504A Forecast international market and business needs BSBINT505A Build international client relationships BSBINT506A Build international business networks BSBINT507A Report on finances related to international business BSBINT508A Promote products and services to international markets
3	**March 2004**	Version 3 of BSB01 Business Services Training Package included the seven fields and twelve domains developed in Phase One (see version 1 & 2 notes below) together with the extensions to fields, additional domains, new units of competency and new and replacement qualifications developed in Phase Two as described below. **Fields expanded in Phase Two** ***Common Business*** – expanded to incorporate units of competency under additional areas (business communication; generalist marketing; first aid; project management; risk management; customer service; diversity and knowledge management). ***Business Administration Services*** – expanded to incorporate units of competency and qualifications in two new domains – Purchasing and Medical Administration. ***Business Management Services***– expanded to incorporate units of competency and qualifications in three new domains – Project Management, Franchising, Quality Auditing, and to provide additional Strategic Management units. ***Human Resources Management*** – expanded to incorporate units of competency and qualifications in two new domains – Unionism and Employment Services, and to provide additional Human Resources units. ***Business Development*** – expanded to incorporate additional units of competency for the Marketing domain. **Domains developed in Phase Two** Purchasing Medical Administration Project Management Franchising Unionism Employment Services Quality Auditing Frontline Management (review only) **Qualifications added to BSB01 in Phase Two** BSB30504 Certificate III in Business (Frontline Management) BSB30704 Certificate III in Business (Medical Administration) BSB41004 Certificate IV in Business (Frontline Management) BSB41404 Certificate IV in Business (Purchasing) BSB41504 Certificate IV in Project Management BSB41704 Certificate IV in Business (Franchising) BSB41804 Certificate IV in Unionism BSB41904 Certificate IV in Business (Employment Services) BSB51004 Diploma of Business (Frontline Management) BSB51404 Diploma of Business (Purchasing) BSB51504 Diploma of Project Management BSB51704 Diploma of Business (Franchising) BSB51804 Diploma of Unionism BSB51904 Diploma of Business (Quality Auditing) BSB60904 Advanced Diploma of Project Management **Deleted/replaced qualifications** The Frontline Management qualifications from BSB01 Versions 1 & 2 – BSB30501 Certificate III in Frontline Management, BSB41001 Certificate IV in Business (Frontline Management) and BSB51001 Diploma of Business (Frontline Management) are now replaced by new frontline qualifications at the same qualification as shown in the list above. **Qualifications Framework amendments** The Qualifications Framework has been amended to include the new qualifications, provide advice about replaced qualifications and provide specific packaging rules for three of the new qualifications – BSB41504 Certificate IV in Project Management, BSB51504 Diploma of Project Management, BSB60904 Advanced Diploma of Project Management – these have different rules and structure to the rest of the qualifications in BSB01.

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Version	Release Date	Comments
		Deleted/replaced units of competency • BSBFLM302A Support leadership in the workplace (deleted) • BSBFLM304A Participate in work teams (deleted) Because of overlap these units were replaced with a new unit – BSBFLM312A Contribute to team effectiveness • BSBFLM402A Show leadership in the workplace (deleted) • BSBFLM404A Lead work teams (deleted) Because of overlap these units were replaced with a new unit – BSBFLM412A Promote team effectiveness • BSBFLM502A Provide leadership in the workplace (deleted) • BSBFLM504A Facilitate work teams (deleted) Because of overlap these units were replaced with a new unit – BSBFLM512A Ensure team effectiveness **Imported units of competency** The following units of competency included in this version were imported from other Training Packages THHGLE09B Manage workplace diversity CHCAD1C Advocate for clients CHCCS1B Deliver and monitor service to clients CHCCS401A Facilitate cooperative behaviour CHCES302A Work with government in a purchaser provider relationship CHCES304A Deliver recruitment services CHCES305A Monitor New Apprenticeships arrangements CHCES402A Deliver New Apprenticeship services CHCES301A Work in the Employment Services area CHCCAR501A Provide careers guidance CHCES303A Use labour market information CHCCM2C Establish and monitor a case plan CHCES406A Provide job search support CHCCM4B Promote high quality case management CHCORG29A Provide coaching and motivation CHCCS2C Deliver and develop client service CHCCD12C Apply a community development framework CHCCS3C Coordinate the provision of services and programs CHCCS402A Respond holistically to complex client issues CHCCS5B Identify and address specific client needs CHCCS405A Work effectively with culturally diverse clients and co-workers CHCES405A Monitor service performance in a purchaser provider relationship with government CHCDIS8B Support people with disabilities as workers CHCCS6B Assess and deliver services to clients with complex needs CHCDIS9B Maximise participation in work by people with disabilities CHCDIS18A Support students with special needs CHCES502A Research and report on labour market information CHCES401A Analyse and apply labour market information CHCCS4C Manage the delivery of quality client service CHCES403A Develop and monitor employment plans CHCDIS11B Coordinate disability work CHCES404A Promote clients to employers CHCES501A Manage service delivery in a purchaser-provider relationship with government CHCES501A Manage service delivery in a purchaser-provider relationship with government PSPGOV603A Develop a tender submission LGACOM409A Prepare tender documents PSPPROC602A Direct management of contracts PSPPROC702A Establish the procurement context
2	**1 May 2002**	**Addition of e-Business field** Version 2 added the new field of e-Business involving fifty-nine new units of competency and eight new qualifications to BSB01. The development of this field of BSB01 was part of the Phase One work but endorsed later than the bulk of Phase One development.

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Version	Release Date	Comments
1	**3 September 2001**	**Fields covered by BSB01 Business Services Training Package Version 1** Version 1 reflected Phase One of the development of the Business Services Training Package (less e-Business field – see Version 2 note above) and included the following fields and domains. • Common Business • Business Administration Services • Business Information Services • Business Management Services • Human Resource Management • Business Development **Domains developed in Phase One:** • Specialist Administration • Legal Services • Recordkeeping • Frontline Management • Governance (Indigenous Organisations) • Small Business Management • Strategic Management • Human Resources • Assessment & Workplace Training (included as part of BSB01) • Advertising • Marketing • Sales

Summary of qualifications in BSB01 Business Services Training Package

All the Australian Qualifications Framework (AQF) qualifications in BSB01 are listed below.

CERTIFICATE I
BSB10101 Certificate I in Business

CERTIFICATE II
BSB20101 Certificate II in Business

CERTIFICATE III
BSB30101 Certificate III in Business
BSA30200 Certificate III in Business (Legal Administration)
BSB30201 Certificate III in Business Administration
BSB30301 Certificate III in Business (Sales)
BSB30401 Certificate III in Business (Recordkeeping)
BSB30503 Certificate III in Business (Frontline Management)
BSB30601 Certificate III in e-Business
BSB30703 Certificate III in Business (Medical Administration)
BSB30803 Certificate III in Business (International Trade)

CERTIFICATE IV
BSB40101 Certificate IV in Business
BSB40201 Certificate IV in Business Administration
BSB40301 Certificate IV in Business (Recordkeeping)
BSB40401 Certificate IV in Business (Small Business Management)
BSB40501 Certificate IV in Business Development
BSB40601 Certificate IV in Business (Advertising)
BSB40701 Certificate IV in Business (Marketing)
BSB40801 Certificate IV in Business (Human Resources)
BSB40901 Certificate IV in Business (Governance)
BSB41003 Certificate IV in Business (Frontline Management)
BSB41101 Certificate IV in Business Management
BSA40200 Certificate IV in Business (Legal Services)
BSB41201 Certificate IV in e-Business
BSB41301 Certificate IV in e-Business Development
BSB41403 Certificate IV in Business (Purchasing)
BSB41503 Certificate IV in Project Management
BSB41703 Certificate IV in Business (Franchising)
BSB41803 Certificate IV in Unionism
BSB41903 Certificate IV in Business (Employment Services)
BSB42003 Certificate IV in Business (International Trade)
BSB41603 Certificate IV in Occupational Health and Safety

DIPLOMA
BSB50101 Diploma of Business
BSB50201 Diploma of Business Administration
BSB50301 Diploma of Business (Recordkeeping)
BSB50401 Diploma of Business Management
BSB50501 Diploma of Business Development
BSB50601 Diploma of Business (Advertising)
BSB50701 Diploma of Business (Marketing)
BSB50801 Diploma of Business (Human Resources)
BSB50901 Diploma of Business (Governance)
BSA50200 Diploma of Business (Legal Services)
BSB51003 Diploma of Business (Frontline Management)
BSB51101 Diploma of e-Business
BSB51201 Diploma of Strategic e-Business Development
BSB51301 Diploma of e-Learning
BSB51403 Diploma of Business (Purchasing)
BSB51503 Diploma of Project Management
BSB51703 Diploma of Business (Franchising)
BSB51803 Diploma of Unionism
BSB51903 Diploma of Business (Quality Auditing)
BSB51903 Diploma in International Business
BSB51603 Diploma of Occupational Health and Safety

ADVANCED DIPLOMA
BSB60101 Advanced Diploma of Business (Recordkeeping)
BSB60201 Advanced Diploma of Business Management
BSB60301 Advanced Diploma of Business (Human Resources)
BSB60401 Advanced Diploma of Business Development
BSB60501 Advanced Diploma of Business (Advertising)
BSB60601 Advanced Diploma of Business (Marketing)
BSB60701 Advanced Diploma of e-Business
BSB60801 Advanced Diploma of Strategic e-Business Development
BSB60903 Advanced Diploma of Project Management
BSB61003 Advanced Diploma of Occupational Health and Safety

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Units of competency in BSB01 Business Services Training Package

All the units of competency in BSB01 are listed below under fields and domains.

Note: Imported units are also shown in the lists below – either in the list relating to the specific domain, or in the list at the end titled 'Units imported from other Training Packages'. Where they are in the domain list they make up part of a specific qualification in that domain; where they are in the list of imported units, they can be selected according to the packaging advice in the Qualification Guide.

COMMON BUSINESS FIELD

Certificate I

BSBCMN101A	Prepare for work
BSBCMN102A	Complete daily work activities
BSBCMN103A	Apply basic communication skills
BSBCMN104A	Plan skills development
BSBCMN105A	Use business equipment
BSBCMN106A	Follow workplace safety procedures
BSBCMN107A	Operate a personal computer
BSBCMN108A	Develop keyboard skills
BSBCMN109A	Follow environmental work practices

Certificate II

BSBCMN201A	Work effectively in a business environment
BSBCMN202A	Organise and complete daily work activities
BSBCMN203A	Communicate in the workplace
BSBCMN204A	Work effectively with others
BSBCMN205A	Use business technology
BSBCMN206A	Process and maintain workplace information
BSBCMN207A	Prepare and process financial/business documents
BSBCMN208A	Deliver a service to customers
BSBCMN209A	Provide information to clients
BSBCMN210A	Implement improved work practices
BSBCMN211A	Participate in workplace safety procedures
BSBCMN212A	Handle mail
BSBCMN213A	Produce simple wordprocessed documents
BSBCMN214A	Create and use simple spreadsheets
BSBCMN215A	Participate in environmental work practices
BSBCMN216A	Create customer relationship
BSBCMN217A	Process customer feedback
BSBCMN218A	Apply basic first aid

Certificate III

BSBCMN301A	Exercise initiative in a business environment
BSBCMN302A	Organise personal work priorities and development
BSBCMN304A	Contribute to personal skill development and learning
BSBCMN305A	Organise workplace information
BSBCMN306A	Produce business documents
BSBCMN307A	Maintain business resources
BSBCMN308A	Maintain financial records
BSBCMN309A	Recommend products and services
BSBCMN310A	Deliver and monitor a service to customers
BSBCMN311A	Maintain workplace safety
BSBCMN312A	Support innovation and change
BSBCMN313A	Maintain environmental procedures
BSBCMN314A	Utilise a knowledge management system
BSBCMN315A	Work effectively with diversity
BSBCMN316A	Process customer complaints
BSBCMN317A	Meet customer needs and expectations
BSBCMN318A	Write simple documents
BSBCMN319A	Apply advanced first aid
BSBCMN320A	Maintain first aid equipment and resources

Certificate IV

BSBCMN402A	Develop work priorities
BSBCMN403A	Establish business networks
BSBCMN404A	Develop teams and individuals
BSBCMN405A	Analyse and present research information
BSBCMN406A	Maintain business technology
BSBCMN407A	Coordinate business resources
BSBCMN408A	Report on financial activity
BSBCMN409A	Promote products and services
BSBCMN410A	Coordinate implementation of customer service strategies
BSBCMN411A	Monitor a safe workplace
BSBCMN412A	Promote innovation and change
BSBCMN413A	Implement and monitor environmental policies
BSBCMN414A	Undertake marketing activities
BSBCMN415A	Manage first aid policy
BSBCMN416A	Identify risk and apply risk management processes
BSBCMN417A	Coordinate customer service activities
BSBCMN418A	Address customer needs
BSBCMN419A	Manage projects
BSBCMN420A	Write complex documents
BSBCMN421A	Assist with compliance with OHS and other relevant laws

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BUSINESS ADMINISTRATION SERVICES FIELD

SPECIALIST ADMINISTRATION

Certificate III

BSBADM301A	Produce texts from shorthand notes
BSBADM302A	Produce texts from notes
BSBADM303A	Produce texts from audio transcription
BSBADM304A	Design and develop text documents
BSBADM305A	Create and use databases
BSBADM306A	Create electronic presentations
BSBADM307A	Organise schedules
BSBADM308A	Process payroll
BSBADM309A	Process accounts payable and receivable
BSBADM310A	Maintain a general ledger

Certificate IV

BSBADM401A	Produce complex texts from shorthand notes
BSBADM402A	Produce complex business documents
BSBADM403A	Develop and use complex databases
BSBADM404A	Develop and use complex spreadsheets
BSBADM405A	Organise meetings
BSBADM406A	Organise business travel
BSBADM407A	Administer projects
BSBADM408A	Prepare financial reports

Diploma

BSBADM501A	Manage the establishment and maintenance of a workgroup network
BSBADM502A	Manage meetings
BSBADM503A	Plan and manage conferences
BSBADM504A	Plan or review administration systems
BSBADM505A	Manage payroll
BSBADM506A	Manage business document design and development

LEGAL SERVICES

Certificate III

BSALPP301A	Apply knowledge of the legal system to complete tasks
BSALPP302A	Carry out search of the public record
BSALPP303A	Deliver court documentation
BSACS301A	Apply the principles of confidentiality and security within the legal environment
BSALR301A	Handle receipt and despatch of information
BSALC301A	Use legal terminology in order to carry out tasks
BSALO301A	Assist in prioritising and planning activities in a legal practice
BSALF301A	Maintain records for time and disbursements in a legal practice

Certificate IV

BSALPP401A	Prepare and produce complex legal documents
BSACS401A	Provide non-legal advice
BSALC401A	Interact with other parties
BSALC402A	Research, locate and provide legal and other information in response to requests
BSALF401A	Maintain trust accounts
BSALPL401A	Provide support in Property Law matters
BSALPL402A	Provide support in Family Law matters
BSALPL403A	Provide support in Criminal Law matters
BSALPL404A	Provide support in Commercial Law matters
FNAMERC03B	Serve legal process
BSALLG401A	Arrange documents and list exhibits for litigation support
206/01	Take instructions in relation to a transaction
206/05	Prepare and execute documents
CHCAD2A	Support the interests, rights and needs of clients within duty of care requirements
CHCCD7A	Support community resources
CHCCD3A	Meet information needs of the community
CHCCD1A	Support community participation

Diploma

BSALC501A	Run a file
BSALO501A	Perform legal research and prepare reports to meet identified needs
BSALPP501A	Obtain information from a client
BSALPP502A	Draft legally binding documents
BSALLG501A	Assist with the discovery process
BSALLG502A	Appear in court
BSALLG503A	Attend pre-trial negotiations
BSALPL501A	Cost complex files
BSALPL502A	Administer in-house mortgage practice
206/04	Negotiate with others to achieve tasks and goals
206/09	Finalise transaction
CHCCD8A	Support community action
CHCCD13A	Work within specific communities
CHCCD11A	Provide advocacy and representation

PURCHASING

Certificate III

BSBPUR301A	Purchase goods and services

Certificate IV

BSBPUR401A	Plan purchasing
BSBPUR402A	Negotiate contracts
BSBPUR403A	Conduct international purchasing

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Diploma	
BSBPUR501A	Develop, implement and review purchasing strategies
BSBPUR502A	Manage supplier relationships
BSBPUR503A	Manage international purchasing
BSBPUR504A	Manage a supply chain

MEDICAL ADMINISTRATION

Certificate II	
BSBMED201A	Use basic medical terminology
BSBMED202A	Follow OHS policies and procedures in medical office

Certificate III	
BSBMED301A	Use advanced medical terminology
BSBMED302A	Prepare and process medical accounts
BSBMED303A	Maintain patient records
BSBMED304A	Assist in controlling stocks and supplies
BSBMED305A	Apply the principles of confidentiality, privacy and security within the medical environment

Certificate IV	
BSBMED401A	Manage patient record-keeping system
BSBMED402A	Control stocks and supplies

BUSINESS INFORMATION SERVICES FIELD

RECORDKEEPING

Certificate III	
BSBRKG301A	Control records
BSBRKG302A	Undertake disposal
BSBRKG303A	Retrieve information from records
BSBRKG304A	Maintain business records

Certificate IV	
BSBRKG401A	Review the status of a record
BSBRKG402A	Provide information from and about records
BSBRKG403A	Set up a business or records system for a small office
BSBEBUS406A	Monitor and maintain records in an online environment

Diploma	
BSBRKG501A	Determine business or records system specifications
BSBRKG502A	Manage and monitor business or records systems
BSBRKG503A	Develop and maintain a classification scheme
BSBRKG504A	Develop terminology for activities and records
BSBRKG505A	Document or reconstruct a business or records system

Advanced Diploma	
BSBRKG601A	Define recordkeeping framework
BSBRKG602A	Develop recordkeeping policy
BSBRKG603A	Prepare a functional analysis for an organisation
BSBRKG604A	Determine security and access rules and procedures
BSBRKG605A	Determine records requirements to document a function
BSBRKG606A	Design a records retention and disposal schedule
BSBRKG607A	Document and monitor the record-creating context
BSBRKG608A	Plan management of records over time

BUSINESS MANAGEMENT SERVICES FIELD

SMALL BUSINESS MANAGEMENT

Certificate III	
BSBSBM301A	Research business opportunities

Certificate IV	
BSBSBM401A	Establish business and legal requirements
BSBSBM402A	Undertake financial planning
BSBSBM403A	Promote the business
BSBSBM404A	Undertake business planning
BSBSBM405A	Monitor and manage business operations
BSBSBM406A	Manage finances
BSBSBM407A	Manage a small team

FRONTLINE MANAGEMENT

Certificate III	
BSBFLM303B	Contribute to effective workplace relationships
BSBFLM305B	Support operational plan
BSBFLM306B	Provide workplace information and resourcing plans
BSBFLM309B	Support continuous improvement systems and processes
BSBFLM311B	Support a workplace learning environment
BSBFLM312A	Contribute to team effectiveness

Certificate IV	
BSBFLM403B	Implement effective workplace relationships
BSBFLM405B	Implement operational plan
BSBFLM406B	Implement workplace information system
BSBFLM409B	Implement continuous improvement
BSBFLM412A	Promote team effectiveness

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Diploma

BSBFLM501B	Manage personal work priorities and professional development
BSBFLM503B	Manage effective workplace relationships
BSBFLM505B	Manage operational plan
BSBFLM506B	Manage workplace information systems
BSBFLM507B	Manage quality customer service
BSBFLM509B	Facilitate continuous improvement
BSBFLM510B	Facilitate and capitalise on change and innovation
BSBFLM511B	Develop a workplace learning environment
BSBFLM512A	Ensure team effectiveness
BSBFLM513A	Manage budgets and financial plans within the work team
BSBFLM514A	Manage people

GOVERNANCE (INDIGENOUS ORGANISATIONS)

Certificate IV

BSBATSIL401A	Meet the roles and responsibilities of a Board member (1)
BSBATSIL402A	Use the constitution
BSBATSIC403A	Maintain and protect culture
BSBATSIM404A	Use the business plan
BSBATSIM405A	Monitor financial management and budgets
BSBATSIM406A	Manage assets
BSBATSIM407A	Plan for organisational needs
BSBATSIL408A	Manage a Board meeting
BSBATSIL409A	Manage time
BSBATSIL410A	Manage stress
BSBATSIC411A	Communicate with the community
BSBATSIM412A	Implement a business-like approach
BSBATSIM413A	Oversee business planning
BSBATSIM414A	Oversee the organisation's annual budget
BSBATSIM415A	Contribute to a positive and culturally appropriate workplace
BSBATSIW416A	Obtain and manage consultancy services
BSBATSIW417A	Select and utilise technology

Diploma

BSBATSIL501A	Meet the roles and responsibilities of a Board member (2)
BSBATSIL502A	Work with the manager
BSBATSIL503A	Manage conflict
BSBATSIM504A	Develop and implement organisational policies
BSBATSIM505A	Control organisation finances
BSBATSIM506A	Develop employment policies
BSBATSIM507A	Establish and maintain a strategic planning cycle
BSBATSIL508A	Be a community leader
BSBATSIL509A	Manage self as a Board member
BSBATSIC510A	Conduct a community meeting
BSBATSIM511A	Develop enterprise opportunities
BSBATSIM512A	Manage board competencies
BSBATSIM513A	Oversee recruitment and induction of staff
BSBATSIW514A	Represent your organisation
BSBATSIW515A	Secure funding

STRATEGIC MANAGEMENT

Diploma

BSBMGT501A	Market services and concepts to internal customers
BSBMGT502A	Manage people performance
BSBMGT503A	Prepare budgets and financial plans
BSBMGT504A	Manage budgets and financial plans
BSBMGT505A	Ensure a safe workplace
BSBMGT506A	Recruit, select and induct staff
BSBMGT507A	Manage environmental performance
BSBMGT508A	Manage risk management system
BSBMGT509A	Manage a knowledge management system
BSBMGT510A	Determine needs of customer populations
BSBMGT511A	Develop a business opportunity
BSBMGT512A	Manage relationships in a family business
BSBMGT513A	Plan for family business succession
BSBMGT514A	Plan and manage growth in a family business

Advanced Diploma

BSBMGT601A	Contribute to strategic direction
BSBMGT602A	Contribute to the development and implementation of strategic plans
BSBMGT603A	Review and develop business plans
BSBMGT604A	Manage business operations
BSBMGT605A	Provide leadership across the organisation
BSBMGT606A	Manage customer focus
BSBMGT607A	Manage knowledge and information
BSBMGT608A	Manage innovation and continuous improvement
BSBMGT609A	Manage risk
BSBMGT610A	Manage environmental management systems
BSBMGT611A	Develop risk management strategy
BSBMGT612A	Plan and implement a knowledge management system
BSBMGT613A	Review and improve a knowledge management system
BSBMGT614A	Develop and implement diversity policy

PROJECT MANAGEMENT

Certificate IV

BSBPM401A	Apply scope management techniques
BSBPM402A	Apply time management techniques
BSBPM403A	Apply cost management techniques
BSBPM404A	Apply quality management techniques

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BSBPM405A	Apply human resource management approaches
BSBPM406A	Apply communications management techniques
BSBPM407A	Apply risk management techniques
BSBPM408A	Apply contract procurement techniques

Diploma

BSBPM501A	Manage application of project integrative processes
BSBPM502A	Manage project scope
BSBPM503A	Manage project time
BSBPM504A	Manage project costs
BSBPM505A	Manage project quality
BSBPM506A	Manage project human resources
BSBPM507A	Manage project communications
BSBPM508A	Manage project risk
BSBPM509A	Manage project procurement

Advanced Diploma

BSBPM601A	Direct the integration of multiple projects/programs
BSBPM602A	Direct the scope of multiple projects/programs
BSBPM603A	Direct time management of multiple projects/programs
BSBPM604A	Direct cost management of multiple projects/programs
BSBPM605A	Direct quality management of multiple projects/programs
BSBPM606A	Direct human resources management of multiple projects/programs
BSBPM607A	Direct communications management of multiple projects/programs
BSBPM608A	Direct risk management of multiple projects/programs
BSBPM609A	Direct project procurement and contracts of multiple projects/programs

FRANCHISING

Certificate III

BSBFRA301A	Work within a franchise

Certificate IV

BSBFRA401A	Manage compliance with franchisee obligations and legislative requirements
BSBFRA402A	Establish a franchise
BSBFRA403A	Manage relationship with franchisor
BSBFRA404A	Manage a multiple site franchise

Diploma

BSBFRA501A	Establish a franchise operation
BSBFRA502A	Manage a franchise operation
BSBFRA503A	Manage establishment of new sites or regions
BSBFRA504A	Manage relationships with franchisees
BSBFRA505A	Manage closure of a franchise

QUALITY AUDITING

Certificate IV

BSBAUD401A	Prepare for a quality audit
BSBAUD402A	Participate in a quality audit

Diploma

BSBAUD501A	Initiate a quality audit
BSBAUD502A	Prepare to lead a quality audit
BSBAUD503A	Lead a quality audit
BSBAUD504A	Report on a quality audit

OHS

Certificate IV

BSBOHS401A	Contribute to the implementation of a systematic approach to managing OHS
BSBOHS402A	Contribute to the implementation of the OHS consultation process
BSBOHS403A	Identify hazards and assess OHS risks
BSBOHS404A	Contribute to the implementation of strategies to control OHS risk
BSBOHS405A	Contribute to the implementation of emergency procedures
BSBOHS406A	Use equipment to conduct workplace monitoring

Diploma

BSBOHS501A	Participate in the coordination and maintenance of a systematic approach to managing OHS
BSBOHS502A	Participate in the management of the OHS information and data systems
BSBOHS503A	Assist in the design and development of OHS participative arrangements
BSBOHS504A	Apply principles of OHS risk management
BSBOHS505A	Manage hazards in the work environment
BSBOHS506A	Monitor and facilitate the management of hazards associated with plant
BSBOHS507A	Facilitate the application of principles of occupational health to control OHS risk
BSBOHS508A	Participate in the investigation of incidents

Advanced Diploma

BSBOHS601A	Develop a systematic approach to managing OHS
BSBOHS602A	Develop OHS information and data analysis and reporting and recording processes
BSBOHS603A	Analyse and evaluate OHS risk
BSBOHS604A	Apply ergonomic principles to control OHS risk

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BSBOHS605A	Apply occupational hygiene principles to control OHS risk
BSBOHS606A	Develop and implement crisis management processes
BSBOHS607A	Advise on application of safe design principles to control OHS risk
BSBOHS608A	Conduct an OHS audit
BSBOHS609A	Evaluate an organisation's OHS performance

COMPLIANCE MANAGEMENT

Certificate IV

BSBCOM401A	Organise and monitor the operation of compliance management system
BSBCOM402A	Implement processes for the management of breaches in compliance requirements
BSBCOM403A	Promote and liaise on compliance requirements, systems and related issues

Diploma

BSBCOM501A	Identify and interpret compliance requirements
BSBCOM502A	Evaluate and review compliance
BSBCOM503A	Develop processes for the management of breaches in compliance requirements
BSBCOM504A	Create a culture of compliance within an organisation

Advanced Diploma

BSBCOM601A	Research compliance requirements and issues
BSBCOM602A	Develop and create compliance requirements
BSBCOM603A	Plan and establish compliance management systems

HUMAN RESOURCES MANAGEMENT FIELD

HUMAN RESOURCES

Certificate IV

BSBHR401A	Administer human resource systems
BSBHR402A	Recruit and select personnel
BSBHR403A	Process human resource documents and inquiries
BSBHR404A	Co-ordinate human resource services
BSBHR405A	Implement industrial relations procedures

Diploma

BSBHR501A	Manage human resource consultancy services
BSBHR502A	Manage human resource management information systems
BSBHR503A	Manage performance management systems
BSBHR504A	Manage industrial relations policies and processes
BSBHR505A	Manage remuneration and employee benefits
BSBHR506A	Manage recruitment selection and induction processes
BSBHR507A	Manage separation/termination
BSBHR508A	Manage work/life skills
BSBHR509A	Manage rehabilitation/return to work programs
BSBHR510A	Plan mediation processes
BSBHR511A	Implement mediation processes
BSBHR512A	Manage industrial relations initiatives
BSBHR513A	Manage industrial relations disputes

Advanced Diploma

BSBHR601A	Manage change
BSBHR602A	Manage human resource strategic planning
BSBHR603A	Contribute to organisation development
BSBHR604A	Manage employee relations
BSBHR605A	Contribute to organisation design

ASSESSMENT AND WORKPLACE TRAINING

Certificate IV

BSZ401A	Plan assessment
BSZ402A	Conduct assessment
BSZ403A	Review assessment
BSZ404A	Train small groups
BSZ405A	Plan and promote a training program
BSZ406A	Plan a series of training sessions
BSZ407A	Deliver training sessions
BSZ408A	Review training

Diploma

BSZ501A	Analyse competency requirements
BSZ502A	Design and establish the training system
BSZ503A	Design and establish the assessment system
BSZ504A	Manage the training and assessment system
BSZ505A	Evaluate the training and assessment system
BSZ506A	Develop assessment procedures
BSZ507A	Develop assessment tools
BSZ508A	Design training courses

UNIONISM

Certificate IV

BSBUN401A	Develop and implement an organising plan
BSBUN402A	Empower members
BSBUN403A	Communicate with workers

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BSBUN404A	Promote equality of opportunity and fair treatment for all members
BSBUN405A	Promote the values, principles and policies of the union
BSBUN406A	Undertake bargaining
BSBUN407A	Provide advice to union members and undertake negotiations
BSBUN408A	Prepare cases for the union
BSBUN409A	Appear before tribunals and represent members

Diploma

BSBUN501A	Develop, manage and review campaigns and projects
BSBUN502A	Represent the union in key forums
BSBUN503A	Coordinate case preparation and research
BSBUN504A	Advocate and present cases for members
BSBUN505A	Develop, implement and manage union policy
BSBUN506A	Coordinate research and analysis

EMPLOYMENT SERVICES

Certificate IV

BSBEMS401A	Develop and implement business development strategies to expand client base
BSBEMS402A	Develop and implement strategies to source and assess candidates
BSBEMS403A	Develop and provide employment management services to candidates
BSBEMS404A	Manage the recruitment process for client organisations

BUSINESS DEVELOPMENT FIELD

ADVERTISING

Certificate IV

BSBADV401A	Profile a target audience
BSBADV402A	Conduct pre-campaign testing
BSBADV403A	Monitor advertising production
BSBADV404A	Schedule advertisements

Diploma

BSBADV501A	Develop a creative concept
BSBADV502A	Write persuasive copy
BSBADV503A	Coordinate advertising research
BSBADV504A	Create advertisements
BSBADV505A	Evaluate and recommend 'above the line' media options
BSBADV506A	Evaluate and recommend 'below the line' media options
BSBADV507A	Develop a media plan
BSBADV508A	Present an advertising campaign

Advanced Diploma

BSBADV601A	Create an advertising brief
BSBADV602A	Develop an advertising campaign
BSBADV603A	Manage advertising production
BSBADV604A	Execute an advertising campaign
BSBADV605A	Evaluate campaign effectiveness

MARKETING

Certificate III

BSBMKG301A	Research the market
BSBMKG302A	Identify marketing opportunities
BSBMKG303A	Draft an elementary marketing audit report
BSBMKG304A	Assist with market research

Certificate IV

BSBMKG401A	Profile the market
BSBMKG402A	Analyse consumer behaviour for specific markets
BSBMKG403A	Analyse market data
BSBMKG404A	Forecast market and business needs
BSBMKG405A	Implement and monitor marketing activities
BSBMKG406A	Build client relationships
BSBMKG407A	Make a presentation
BSBMKG408A	Conduct market research

Diploma

BSBMKG501A	Evaluate marketing opportunities
BSBMKG502A	Establish and adjust the marketing mix
BSBMKG503A	Develop a marketing communications plan
BSBMKG504A	Implement a marketing solution
BSBMKG505A	Review marketing performance
BSBMKG506A	Plan market research

Advanced Diploma

BSBMKG601A	Develop marketing strategies
BSBMKG602A	Develop a marketing plan
BSBMKG603A	Manage the marketing process
BSBMKG604A	Develop and manage direct marketing campaigns
BSBMKG605A	Evaluate international marketing opportunities
BSBMKG606A	Manage international marketing programs
BSBMKG607A	Manage market research

SALES

Certificate III

BSBSLS301A	Develop product knowledge
BSBSLS302A	Identify sales prospects
BSBSLS303A	Present a sales solution
BSBSLS304A	Secure prospect commitment
BSBSLS305A	Support post-sale activities
BSBSLS306A	Self-manage sales performance

Certificate IV

BSBSLS401A	Lead a sales team

E-BUSINESS FIELD

e-BUSINESS

Certificate III

BSBEBUS301A	Search and assess online business information
BSBEBUS302A	Use and maintain electronic mail system
BSBEBUS303A	Participate in a virtual community
BSBEBUS304A	Buy online
BSBEBUS305A	Sell online
BSBEBUS306A	Make payments online
BSBEBUS307A	Bank online
BSBEBUS308A	Maintain online business records
BSBEBUS309A	Undertake e-learning
BSBEBUS310A	Work effectively as an off-site e-worker

Certificate IV

BSBEBUS401A	Conduct online research
BSBEBUS402A	Implement e-correspondence policies
BSBEBUS403A	Communicate electronically
BSBEBUS404A	Trade online
BSBEBUS405A	Conduct online financial transactions
BSBEBUS406A	Monitor and maintain records in an online environment
BSBEBUS407A	Review and maintain the business aspects of a website
BSBEBUS408A	Implement and monitor delivery of quality customer service online
BSBEBUS409A	Lead and facilitate e-staff

Diploma

BSBEBUS501A	Evaluate e-business opportunities
BSBEBUS502A	Evaluate e-business models
BSBEBUS503A	Design an e-business
BSBEBUS504A	implement an e-business strategy
BSBEBUS505A	Implement new technologies for business
BSBEBUS506A	Plan and develop a business website
BSBEBUS507A	Manage the business aspects of a website
BSBEBUS508A	Build a virtual community
BSBEBUS509A	Implement e-business outsourcing arrangements
BSBEBUS510A	Manage e-business outsourcing
BSBEBUS511A	Implement a knowledge management strategy for an e-business
BSBEBUS512A	Implement electronic communication policy
BSBEBUS513A	Plan e-learning
BSBEBUS514A	Implement e-learning
BSBEBUS515A	Facilitate e-learning
BSBEBUS516A	Manage online purchasing
BSBEBUS517A	Manage online inventory
BSBEBUS518A	Manage an e-business supply chain
BSBEBUS519A	Manage online sales systems
BSBEBUS520A	Manage online payments systems
BSBEBUS521A	Plan e-marketing communications
BSBEBUS522A	Conduct e-marketing communications
BSBEBUS523A	Investigate and plan e-work business solutions
BSBEBUS524A	Implement and manage e-working arrangements

Advanced Diploma

BSBEBUS601A	Develop an e-business strategy
BSBEBUS602A	Develop an action plan for an e-business strategy
BSBEBUS603A	Evaluate new technologies for business
BSBEBUS604A	Develop a business website strategy
BSBEBUS605A	Identify and implement e-business innovation
BSBEBUS606A	Manage e-business risk
BSBEBUS607A	Develop e-business outsourcing policy and guidelines
BSBEBUS608A	Develop and implement online information policy
BSBEBUS609A	Develop a knowledge management strategy for an e-business
BSBEBUS610A	Develop electronic communication policy
BSBEBUS611A	Develop and implement e-business human resource management policy and practices
BSBEBUS612A	Develop and implement e-work policy and guidelines
BSBEBUS613A	Develop online customer service strategies
BSBEBUS614A	Build online customer loyalty
BSBEBUS615A	Use online systems to support managerial decision-making
BSBEBUS616A	Plan an e-business supply chain

INTERNATIONAL SERVICES FIELD

INTERNATIONAL TRADE / BUSINESS

Certificate III

BSBINT301A	Apply knowledge of the international trade environment to complete work
BSBINT302A	Apply knowledge of legislation relevant to international trade to complete work
BSBINT303A	Organise the importing and exporting of goods
BSBINT304A	Assist in the international transfer of services
BSBINT305A	Prepare business documents for the international trade of goods
BSBINT306A	Apply knowledge of international finance and insurance to complete work requirements

Certificate IV

BSBINT401A	Research international business opportunities
BSBINT402A	Market goods and services internationally

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BSBINT403A	Research international markets
BSBINT404A	Implement international client relationship strategies
BSBINT405A	Apply knowledge of import and export international conventions, laws and finance
BSBINT406A	Promote compliance with legislation
BSBINT407A	Prepare business advice on export Free on Board Value
BSBINT408A	Prepare business advice on the taxes and duties for international trade transactions
BSBINT409A	Plan for international trade

Diploma

BSBINT501A	Profile international markets
BSBINT502A	Analyse consumer behaviour for specific international markets
BSBINT503A	Analyse data from international markets
BSBINT504A	Forecast international market and business needs
BSBINT505A	Build international client relationships
BSBINT506A	Build international business networks
BSBINT507A	Report on finances related to international business
BSBINT508A	Promote products and services to international markets

IMPORTED UNITS FOR THE E-BUSINESS BLENDED QUALIFICATIONS

ICAITAD043A	Develop and present a feasibility report
ICAITAD051B	Develop client user interface
ICAITAD052B	Design IT security framework
ICAITAD053B	Design system security and controls
ICAITAD054B	Validate quality and completeness of design
ICAITAD138A	Determine acceptable solution providers for e-business projects
ICAITAD141A	Design dynamic websites to meet technical requirements
ICAITAD146A	Develop web site information architecture
ICAITAD147A	Determine that data base functionality and scalability suits business requirements
ICAITAD148A	Identify new technology models for e-business
ICAITAD149A	Implement quality assurance process for e-commerce solutions
ICAITAD150A	Evaluate vendor products and equipment
ICAITAD151A	Gather data to identify business requirements
ICAITAD152A	Implement risk management processes
ICAITAD156A	Review and plan for risk to e-commerce solution providers
ICAITAD157A	Develop technical requirements for an e-commerce solution
ICAITAD158A	Translate the business needs into technical requirements
ICAITB059A	Develop detailed technical design
ICAITB073B	Pilot the developed system
ICAITB074B	Monitor the system pilot
ICAITD208A	Writing for the World Wide Web
ICAITS108B	Complete database backup and recovery
ICAITS116A	Undertake capacity planning
ICAITS119B	Monitor and administer system security
ICAITS191A	Maintain web site performance
ICAITS194A	Ensure basic web site security
ICAITS199A	Manage E-commerce websites
ICAITS200A	Monitor traffic and compile specified site traffic reports
ICAITS202A	Ensure privacy for users
ICAITS203A	Choose a web hosting service
ICAITSP039B	Match the IT needs with the strategic direction of the enterprise
ICAITSP040A	Manage and review contracts
ICAITT183A	Confirm accessibility of web site design
ICAITT184A	Ensure site usability
ICAITTW214A	Maintain ethical conduct
ICAITU127B	Support system software
ICAITU205A	Select and employ software and hardware multimedia tools
CUFIMA01A	Produce and manipulate digital images
CUFIMA04A	Create 3D digital animation
CUFIMA05A	Create 3D digital models and images
CUFMEM06A	Design a multimedia product
CUFMEM07A	Apply principles of visual design and communication to the development of a multimedia product
CUFMEM08A	Apply principles of instructional design to a multimedia product
CUFMEM10A	Design and create a multimedia interface
CUFMEM11A	Design the navigation for a multimedia product
CULLB412A	Undertake cataloguing activities

UNITS IMPORTED FROM OTHER TRAINING PACKAGES (SEE NOTE AT TOP OF TABLE ON PAGE 14)

Diversity

THHGLE09B	Manage workplace diversity

Employment Services

CHCAD1A	Advocate for clients
CHCCS1A	Deliver and monitor service to clients
CHCCS401A	Facilitate cooperative behaviour
CHCES302A	Work with government in a purchaser provider relationship
CHCES304A	Deliver recruitment services
CHCES305A	Monitor New Apprenticeships support services

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CHCES303A	Work within a legal and ethical framework
CHCES402A	Deliver New Apprenticeship support services
CHCES301A	Work in Employment Services area
CHCCAR501A	Provide careers guidance
CHCES303A	Use labour market information
CHCCM2A	Establish and monitor a case plan
CHCES406A	Provide job search support
CHCCM4A	Promote high quality case management
CHCORG29A	Provide coaching and motivation
CHCCS2A	Develop and deliver client service
CHCCD12B	Apply a community development framework
CHCCS3B	Coordinate the provision of services and programs
CHCCS402A	Respond holistically to client issues
CHCCS5A	Identify and address specific client issues
CHCCS405A	Work effectively with culturally diverse clients and co-workers
CHCES405A	Monitor service performance in a purchaser provider relationship with government
CHCDIS18A	Support people with disabilities as workers
CHCCS6A	Assess and deliver services to clients with complex needs
CHCDIS9B	Maximise participation in work by people with disabilities
CHCDIS8A	Work with clients intensively
CHCES502A	Research and report on labour market information
CHCES401A	Analyse and apply labour market information
CHCCS4A	Manage the delivery of quality client service
CHCES403A	Develop and monitor employment plans
CHCDIS11A	Coordinate disability work
CHCES404A	Promote clients to employers
CHCES501A	Manage service delivery in a purchaser-provider relationship with government
PSPGOV603A	Develop a tender submission

Purchasing

LGACOM409A	Prepare tender documents
PSPPROC602A	Direct management of contracts
PSPPROC702A	Establish the procurement context

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Structure of BSB01 Volumes

VOLUME 1	VOLUME 2A	VOLUME 2B	VOLUME 3	VOLUME 4A	VOLUME 4B	VOLUME 4C
Introduction Qualification Guide Assessment Guidelines	**Units of Competency** **Field:** BUSINESS ADMINISTRATION SERVICES **Domain:** Legal Services Medical Administration Purchasing	**Units of Competency** **Field:** BUSINESS ADMINISTRATION SERVICES **Domain:** Specialist Administration	**Units of Competency** **Field:** BUSINESS INFORMATION SERVICES **Domain:** Recordkeeping	**Units of Competency** **Field:** BUSINESS MANAGEMENT SERVICES **Domain:** Small Business Management Governance (Indigenous Organisations) Franchising Quality Auditing	**Units of Competency** **Field:** BUSINESS MANAGEMENT SERVICES **Domain:** Project Management	**Units of Competency** **Field:** BUSINESS MANAGEMENT SERVICES **Domain:** Strategic Management Frontline Management
Units of Competency **Field:** COMMON BUSINESS **Domain:** Common	**VOLUME 4D** **Units of Competency** **Field:** BUSINESS MANAGEMENT SERVICES **Domain:** Occupational Health & Safety Compliance Management	**VOLUME 5A** **Units of Competency** **Field:** HUMAN RESOURCE MANAGEMENT **Domain:** Human Resources Employment Services Unionism	**VOLUME 5B** **Units of Competency** **Field:** HUMAN RESOURCE MANAGEMENT **Domain:** Assessment and Workplace Training *[This domain will be replaced after the Training And Assessment Training Package is endorsed]*	**VOLUME 6** **Units of Competency** **Field:** E-BUSINESS **Domain:** E-Business	**VOLUME 7** **Units of Competency** **Field:** BUSINESS DEVELOPMENT **Domain:** Advertising Sales Marketing	**VOLUME 8** **Units of Competency** **Field:** INTERNATIONAL SERVICES **Domain:** International Trade International Business

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Competency Standards

The broad concept of industry competency concerns the ability to perform particular tasks and duties to the standard of performance expected in the workplace. Competency requires the application of specified skills, knowledge and attitudes relevant to effective participation in an industry, industry sector or enterprise.

Competency covers all aspects of workplace performance and involves performing individual tasks; managing a range of different tasks; responding to contingencies or breakdowns; and, dealing with the responsibilities of the workplace, including working with others. Workplace competency requires the ability to apply relevant skills, knowledge and attitudes consistently over time and in the required workplace situations and environments. In line with this concept of competency Training Packages focus on what is expected of a competent individual in the workplace as an outcome of learning, rather than focussing on the learning process itself.

Competency standards in industry Training Packages are determined by industry to meet identified industry skill needs. Competency standards are made up of a number of units of competency each of which describes a key function or role in a particular job function or occupation. Each unit of competency within a Training Package is linked to one or more AQF qualifications.

Contextualisation of Units of Competency by RTOs

Registered Training Organisation (RTOs) may contextualise units of competency to reflect local outcomes required. Contextualisation could involve additions or amendments to the unit of competency to suit particular delivery methods, learner profiles, specific enterprise equipment requirements, or to otherwise meet local needs. However, the integrity of the overall intended outcome of the unit of competency must be maintained.

Any contextualisation of units of competency in this endorsed Training Package must be within the bounds of the following advice. In contextualising units of competency, RTOs:

- must not remove or add to the number and content of elements and performance criteria
- may add specific industry terminology to performance criteria where this does not distort or narrow the competency outcomes
- may make amendments and additions to the range statement as long as such changes do not diminish the breadth of application of the competency and reduce its portability, and/or
- may add detail to the evidence guide in areas such as the critical aspects of evidence or resources and infrastructure required where these expand the breadth of the competency but do not limit its use.

Components of Units of Competency

The components of units of competency are summarised below, in the order in which they appear in each unit of competency.

Unit Title

The unit title is a succinct statement of the outcome of the specific unit of competency. Each unit of competency title is unique, both within and across Training Packages.

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Unit Descriptor

The unit descriptor broadly communicates the purpose of the unit of competency and the skill area it addresses. Where units of competency have been contextualised from units of competency from other endorsed Training Packages, summary information about the relationship of the units of competency is provided in the unit descriptor.

Competency Field (Optional)

The competency field either reflects the way the units of competency are categorised in the Training Package or denotes the industry sector, specialisation or function. It is an optional component of the unit of competency.

Application of the Competency

The application of the competency fleshes out the scope, purpose and operation of the unit of competency in different contexts, for example its application in the workplace.

Elements of Competency

The elements of competency are the basic building blocks of the unit of competency. They describe in terms of outcomes the significant functions and tasks that make up the competency.

Performance Criteria

The performance criteria specify the required performance in relevant tasks, roles, skills and in the applied knowledge that enables competent performance.

Range Statement

The range statement provides a context for the unit of competency, describing any variables that may apply in workplace situations.

Evidence Guide

The evidence guide is critical in assessment as it provides information to the Registered Training Organisation (RTO) and assessor about how the described competency may be demonstrated. The evidence guide does this by providing a range of evidence for the assessor to make determinations, and by providing the assessment context. The evidence guide describes:

- conditions under which competency must be assessed including variables such as the assessment environment or necessary equipment
- relationships with the assessment of any other units of competency
- suitable methodologies for conducting assessment including the potential for workplace simulation
- resource implications, for example access to particular equipment, infrastructure or situations
- how consistency in performance can be assessed over time, various contexts and with a range of evidence, and
- the required underpinning knowledge and skills

Key Competencies

All Training Packages require the integration of Key Competencies either in each unit of competency, or across a qualification, depending on industry needs and preferences.

The Key Competencies were first defined in 1992 in the project report, *Putting General Education to Work: The Key Competencies Report (Mayer Committee 1992).* The skills and

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knowledge they describe are essential for effective workplace participation and involve the sorts of capabilities commonly used by employers as selection criteria. They underpin the ability of employees to adapt to technological, organisational, societal and functional change.

The Key Competencies are generic, in that they apply to work in general, rather than to particular occupations or industries. They focus on the application of knowledge and skills in an integrated way in workplace situations. The seven Key Competencies are:

1 Collecting, analysing and organising information
The capacity to locate, sift and sort information in order to select what is required and to present it in a useful way, and evaluate both the information itself and the sources and methods used to collect it.

2 Communicating ideas and information
The capacity to communicate effectively with others using the range of spoken, written, graphic and other non-verbal means of expression.

3 Planning and organising activities
The capacity to plan and organise one's own work activities, including making good use of time and resources, sorting out priorities and monitoring one's performance.

4 Working with others in teams
The capacity to interact effectively with other people both on a one-to-one basis and in groups, including understanding and responding to the needs of a client and working effectively as a member of a team to achieve a shared goal.

5 Solving problems
The capacity to apply problem-solving strategies in purposeful ways, both in situations where the problem and the solution are clearly evident and in situations requiring creative thinking and a creative approach to achieve a desired outcome.

6 Using mathematical ideas and techniques
The capacity to use mathematical ideas, such as number and space, and techniques such as estimation and approximation, for practical purposes.

7 Using technology
The capacity to apply technology, combining the physical and sensory skills needed to operate equipment with the understanding of scientific and technological principles needed to explore and adapt systems.

Performance Levels

There are three levels of performance defined within the Key Competencies. These are stand-alone levels and do not correspond to the AQF qualification levels.

- **Performance Level 1** is concerned with the level of competence needed to undertake activities efficiently with sufficient self-management to meet the explicit requirements of the activity, and to make judgements about the quality of outcomes against established criteria.

- **Performance Level 2** describes the competence needed to manage activities requiring the selection, application and integration of a number of elements, and to select from established criteria to judge quality of process and outcome.

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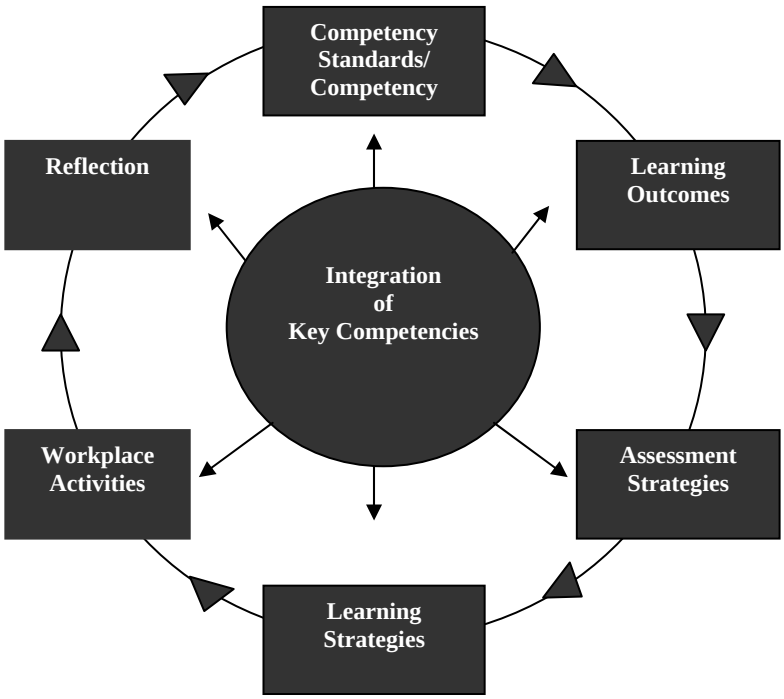
- **Performance Level 3** describes the competence needed to evaluate and reshape processes, to establish and use principles in order to determine appropriate ways of approaching activities, and to establish criteria for judging quality of process and outcome.

However, relating performance to the specific industry or workplace context may be more useful than interpreting the somewhat abstracted performance levels provided above. Where the Key Competencies are defined in the unit of competency, you will find them in a table, together with examples of their application, to help with assessment of their performance. Also, in evaluating the level of performance for the Key Competencies, consider the performance expectations at the AQF qualification level involved.

Delivery and Assessment of Key Competencies

The Key Competencies are integral to workplace competency, and, as such must be explicitly considered in the design, customisation, delivery and assessment of vocational education and training programs as represented diagrammatically below.



BSB01 Business Services Training Package

Strategic Management Competency Standards

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BSBMGT501A Market services and concepts to internal customers

Unit Descriptor This unit covers internal marketing techniques to promote and sell internal service provision or a particular project or development which the manager has initiated. The unit could be of considerable value to persons undertaking BSBMGT608A Manage innovation and continuous improvement. It may also be of value to persons pursuing units in the HR specialisation or project management, and opportunities for co-assessment could arise.

Competency Field Business Management Services

Element	Performance Criteria
1. Interpret strategic and operational plans	1.1 Strategic and operational plans are analysed to identify improvement opportunities
	1.2 *Internal marketing strategies* in place are analysed and reviewed
	1.3 *Relevant groups and individuals* are consulted as appropriate on internal marketing issues
	1.4 Internal marketing needs are clearly identified and documented
	1.5 Requirements for *specialist marketing advice* are identified
2. Manage research activities	2.1 *Research* requirements are identified and documented
	2.2 *Research* is undertaken in line with the specifications and options/strategies
	2.3 Proposed options/strategies are evaluated with *specialist marketing advice* where required
	2.4 *Risk analyses* and *cost benefit analyses* are proposed for each of the options/strategies
	2.5 Options are assessed by *relevant groups and individuals* and decisions made as to the actions to be taken
3. Prepare internal marketing plans	3.1 Performance targets and objectives are established along with the criteria to be used in assessing the success of the plans
	3.2 Price and quality specifications are developed for each product/service and *benchmarking* occurs where appropriate
	3.3 The target market for each product/service is clearly identified
	3.4 *Networking* with appropriate groups and individuals

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Element	Performance Criteria
	is built into the internal marketing plan
	3.5 Internal marketing activities are scheduled as to both duration and timing
	3.6 Implications for *electronic commerce* are identified and activities planned to meet *electronic commerce* requirements where relevant
4. Evaluate internal marketing plans	4.1 Implementation of the internal marketing plan is monitored, and relevant performance data collected
	4.2 Data is analysed and interpreted to determine success of internal marketing plan
	4.3 Early intervention occurs where objectives/targets are not being met or standards are not being adhered to
	4.4 Data collected is valid, reliable and relevant in terms of cause/effect, and measured in the context of pre-agreed targets, objectives and timeframes
	4.5 Timely reports are prepared on internal marketing performance, and disseminated to relevant groups and individuals
	4.6 Improvements are introduced to ensure internal marketing plans meet the objectives

Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Legislation, codes and national standards relevant to the workplace which may include:

- award and enterprise agreements and relevant industrial instruments
- 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 industry codes of practice

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Range Statement

Internal marketing strategies may include:

- internal advertising
- newsletter
- activity reports
- policy manuals
- induction programs
- email
- performance feedback

Relevant groups and individuals means:

- all internal personnel who have an input to, or are a recipient of, the internal service or product, and/or those personnel whose work will be impacted by the concept proposed

Specialist marketing advice may include:

- internal marketing expertise
- external marketing expertise

Research may include:

- surveys
- focus groups
- individual interviews
- group interviews

Risk analyses means:

- the analysis of proposals/options to identify any threat (actual or potential) to a project or one of its constituent parts

Cost benefit analyses means:

- a calculation to determine whether the results/outcomes of a particular course of action are sufficient to justify the costs and risks in taking that action

Benchmarking means:

- a process by which an organisation assesses its current best practices by comparing them with the best practices of other organisations

Networking means:

- developing working relationships including building trust and understanding with colleagues, paying attention to individuals, using influence to guide the direction of the group rather than orders

Electronic commerce refers to:

- business-to-business, business-to-consumer, government to business activities conducted via electronic communication methodologies and networks

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Evidence Guide

The Evidence Guide identifies the critical aspects, knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- Assessment in this unit needs to gather evidence from the emergence of the concept/idea/product/service to the point where it has been taken up or excluded by senior management
- The establishment of a clear link between market need and product/service development is an essential requirement of the evidence

OHS considerations may include:

- options/strategies include OHS especially in relation to remote/isolated work and stress management

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating theoretical concepts, with substantial depth in some areas.

- 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
- Marketing principles and methodologies
- Organisational plans and objectives (strategic, tactical and operational)
- New developments and trends in their area of expertise
- Specialist marketing advice available, internally and externally
- Marketing competitors and potential allies
- Electronic commerce methodologies

Underpinning Skills

- Analytical skills to identify improvement opportunities in relation to the services/products you deliver internally or concepts/ideas in your area of expertise
- Research skills to produce all information relevant to the needs of the internal customers for the particular type of service/product concepts
- Risk management skills to analyse, identify and develop mitigation strategies for identified risks
- Networking skills to ensure support from key groups and individuals for concepts/ideas/products/services
- Evaluative skills to maintain performance and assess the use of alternative suppliers/contractors
- Communication and report writing skills to keep all internal customers informed of activities and

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Evidence Guide

	developments • Ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities
Resource Implications	The learner and trainer should have access to appropriate documentation and resources normally used in the workplace
Consistency of Performance	In order to achieve consistency of performance, evidence should be collected over a set period of time which is sufficient to include dealings with an appropriate range and variety of situations
Context/s of Assessment	• Competency is demonstrated by performance of all stated criteria, including paying particular attention to the critical aspects and the knowledge and skills elaborated in the Evidence Guide, and within the scope as defined by the Range Statement • Assessment must take account of the endorsed assessment guidelines in the Business Services Training Package • Assessment of performance requirements in this unit should be undertaken in an actual workplace or simulated environment • Assessment should reinforce the integration of the key competencies and the business services common competencies for the particular AQF level. Refer to the Key Competency Levels at the end of this unit

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Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 3	Level 3	Level 3	Level 3	Level 2	Level 3	Level 2

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information –** to prepare an internal marketing plan
- **Communicating ideas and information –** to senior managers and potential internal customers
- **Planning and organising activities –** to assess the need for internal marketing
- **Working with teams and others –** to evaluate internal marketing plans
- **Using mathematical ideas and techniques –** to calculate and represent unit cost of products/
  services, or to cost a project
- **Solving problems –** to ensure that internal marketing of ideas, products and services, continuously improves
- **Using technology –** to present the idea or to allow internal customers to learn about the product on-line

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSBMGT502A Manage people performance

Unit Descriptor

This unit covers the ability of managers to manage the performance of the 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. It is a unit that all managers/prospective managers who have responsibility for other employees should strongly consider undertaking.

Consider co-assessment with BSBMGT604A Manage business operations.

Competency Field

Business Management Services

Element	Performance Criteria
1. Allocate work	1.1 Relevant groups and individuals are consulted on work to be allocated and resources to be deployed
	1.2 Work is allocated in accordance with operational plans
	1.3 Allocation of work is cost effective and appropriate in terms of the use of internal/external labour
	1.4 *Performance standards*, *Code of Conduct* and work outputs and processes are confirmed prior to commencement
	1.5 *Performance indicators* are developed for key result areas and are agreed prior to commencement of work
	1.6 *Risk analyses* are undertaken in accordance with the organisational risk management plan and legal requirements
2. Assess performance	2.1 *Performance management* and review processes are designed to be consistent with organisational objectives and policies
	2.2 Participants in the performance management and review process are trained
	2.3 *Performance management* processes are implemented in accordance with planning and timelines
	2.4 Performance is monitored and evaluated on a continuous basis
3. Provide feedback	3.1 Informal feedback is given in a regular, timely manner
	3.2 Poor performance is identified promptly and brought to the attention of the appropriate person

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Element	Performance Criteria
	3.3 On-the-job coaching is provided when necessary, both to improve performance and confirm *excellence in performance*
	3.4 Documentation of performance is in accordance with the performance management system
	3.5 Formal structured feedback sessions occur as necessary and in accordance with organisational policy
4. Manage follow-up	4.1 Performance improvement and development plans are developed in accordance with organisational policies
	4.2 Assistance is sought from human resource specialists where appropriate
	4.3 *Excellence in performance* is reinforced through recognition and continuous feedback
	4.4 Individuals not meeting expectations are provided with the necessary *coaching* and re-training and monitored closely
	4.5 Support services are provided to meet individual needs and circumstances
	4.6 Individuals who continue to perform below expectations are counselled and, where necessary, placed within the disciplinary process
	4.7 *Terminations* occur where serious misconduct or on-going under-performance occurs
	4.8 *Terminations* are in accordance with organisational and legal requirements
	4.9 Performance feedback systems are evaluated regularly and revised as necessary
	4.10 Selection, induction and training systems are evaluated regularly and improved

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Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Legislation, codes and national standards relevant to the workplace which may include:	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Key result areas means:	• those areas of business performance which are critical to the overall success of the business (or section of a business)
Key performance indicators means:	• those measures developed to gauge performance outcomes against targets
Performance standards means:	• the level of performance sought of an individual or group which may be expressed either quantitatively or qualitatively
Code of Conduct means:	• an agreed (or decreed) set or rules relating to employee behaviour/conduct with other employees or customers
Risk analysis means:	• a determination of the likelihood of a negative event preventing the organisation meeting its objectives and the likely consequences of such an event on organisational performance
Performance management means:	• a 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 longer term • in accordance with relevant industrial agreements
Excellence in performance means:	• regularly and consistently exceeding the performance targets established whilst meeting the organisation's performance standards

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Range Statement

Coaching refers to:	• informal on-the-job and off-the-job advice and training to improve performance
Termination means:	• a cessation of the contract of employment between an employer and an employee, at the initiative of the employer within relevant industrial agreements
Relevant groups and individuals include:	• employees, employee representatives, employer representatives, line managers and human resource personnel

Evidence Guide

The Evidence Guide identifies the critical aspects, knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence	• Direct evidence of the performance management processes being undertaken is essential in the assessment of this unit, including the linking of performance indictors to the allocation of work and assessment of performance against performance standards • Workplace coaching (informal feedback) coupled with formal performance feedback, resulting in performance improvement
OHS considerations may include:	• establishment and maintenance of OHS training, records, induction processes • performance against OHS legislation and organisation's OHS system, especially policies, procedures and work instructions

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Evidence Guide

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating theoretical concepts, with substantial depth in some areas.

- 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
- Key result areas of the organisation
- Human resource specialist assistance available
- Organisational plans and objectives (strategic, tactical and operational)
- Human resource planning
- All legislation relevant to the organisation which impacts on people performance (including EEO and anti discrimination laws)
- Organisational support services for employees (external and internal)
- Unfair dismissal rules and due process
- Staff development strategies

Underpinning Skills

- Communication/consultation skills to ensure all relevant groups and individuals are advised of what is occurring and are provided with an opportunity for input
- Performance measurement skills to develop and manage key performance indicators
- Risk management skills to analyse, identify and develop mitigation strategies for identified risks
- Coaching and training skills to remediate any under-performance present in the work group or individuals
- Counselling/interviewing skills to conduct formal performance feedback sessions including counselling and disciplinary interviews where required
- Evaluative skills to review and improve performance management systems
- Ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities

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Evidence Guide

Resource Implications

The learner and trainer should have access to appropriate documentation and resources normally used in the workplace

Consistency of Performance

In order to achieve consistency of performance, evidence should be collected over a set period of time which is sufficient to include dealings with an appropriate range and variety of situations

Context/s of Assessment

- Competency is demonstrated by performance of all stated criteria, including paying particular attention to the critical aspects and the knowledge and skills elaborated in the Evidence Guide, and within the scope as defined by the Range Statement
- Assessment must take account of the endorsed assessment guidelines in the Business Services Training Package
- Assessment of performance requirements in this unit should be undertaken in an actual workplace or simulated environment
- Assessment should reinforce the integration of the key competencies and the business services common competencies for the particular AQF level. Refer to the Key Competency Levels at the end of this unit

Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 3	Level 3	Level 3	Level 3	Level 2	Level 3	Level 2

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Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information –** to provide feedback
- **Communicating ideas and information –** to ensure that expectations are clearly understood
- **Planning and organising activities –** to undertake risk analysis
- **Working with teams and others –** to assess performance
- **Using mathematical ideas and techniques –** to measure performance
- **Solving problems –** to facilitate improvement where under-performance occurs
- **Using technology –** to support the performance management systems

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

BSBMGT503A Prepare budgets and financial plans

Unit Descriptor

This unit covers the preparation of financial plans and budgets by operational/non-financial managers, as required by their particular organisation.

This unit is related to BSBMGT504A Manage budgets and financial plans.

Competency Field

Business Management Services

Element	Performance Criteria
1. Analyse strategic and operational plans	1.1 *Strategic opportunities* are expressed in terms of tactical and operational objectives 1.2 Tactical and operational objectives are converted into special projects or work programs 1.3 Financial trends are analysed and interpreted in the context of the organisational strategic objectives 1.4 Financial planning objectives, process timeframes and resources are clearly identified
2. Develop revenue, expenditure and capital investment proposals	2.1 Individuals and groups are given responsibility for the development of specific *budgets and plans* 2.2 Consultation occurs with all *relevant groups and individuals* throughout the organisation 2.3 Proposals are developed taking account of past experience, present trends and future expectations 2.4 Outcomes of proposals are clearly linked to organisational strategic objectives 2.5 Realistic cost benefit and risk analyses/management plans are incorporated into all proposals 2.6 Organisational *investment target rates* are met for *capital expenditure* proposals 2.7 Performance measures and tactics for monitoring and control processes are identified for each proposal/action 2.8 Proposals comply with the organisation's *values, policies, Code of Conduct, legal and ethical obligations* 2.9 Proposals are developed within the agreed timeframes 2.10 *Supporting evidence* is valid and sufficient to allow proper evaluation of the proposals

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Element	Performance Criteria
3. Build agreement for budgets and financial plans	3.1 Negotiation is undertaken with relevant groups and individuals in ways that build commitment to the plans 3.2 Links to the achievement of organisational strategic objectives are identified and agreed 3.3 Outcomes are confirmed in terms of clear, concise objectives and timeframes 3.4 Negotiations lead to a clear agreement of those matters to be incorporated into *budgets and plans* 3.5 *Budgets and plans* incorporate the outcomes of negotiations and meet organisation's approval processes 3.6 *Delegations, accountabilities and responsibilities* are agreed and confirmed in writing 3.7 Final *budget and plans* are clearly documented and a communication plan developed

Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Legislation, codes and national standards relevant to the workplace which may include:

- award and enterprise agreements and relevant industrial instruments
- 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 industry codes of practice

Strategic opportunities may include:

- new product/service development
- new models/revisions of products/services
- expansion/contraction of operational activities
- alliances/joint ventures
- outsourcing/in-sourcing

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Range Statement

Budgets and plans may include:	• operation/production budgets • financial budgets • sales budgets • capital expenditure budgets • cash flow plans
Relevant groups and individuals means:	• all personnel within the organisation affected by the budgets and financial plans being developed
Investment target rates refers to:	• the minimum percentage rate of return required by the organisation for a capital investment project to proceed
Capital expenditure means:	• those components of the budget which, for internal policy reasons, are considered to provide benefits over more than one financial period and are to be evaluated as capital expenditure projects
Legal and ethical obligations means:	• compliance with all relevant statutes, regulations and audit requirements of the organisation, along with the organisation's policies and values
Supporting evidence may include:	• cost/benefit analyses • risk management plans • market research results • net present value • interest rate of return • pay pack calculations
Delegations means:	• the decision-making accountabilities relating to the person's position description and/or other written and verbal delegations
Accountabilities and responsibilities means:	• clarification of who is to be accountable for a decision or action prior to its execution, and identification of groups, individuals and activities for which a person is responsible for managing

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Evidence Guide

The Evidence Guide identifies the critical aspects, knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- Each of the elements needs to be clearly evidenced, both in terms of outcome and process, but this can be achieved through a holistic project approach to assessment
- Evidence needs to determine that people not only have done and can do what is required, but that they understand why these activities need to be undertaken
- Evidence of preparation and negotiation of proposed with clear links to strategic and operational plans

OHS considerations may include:

- sufficient resources for OHS in strategic and operational plans
- proposals include OHS risk assessment and control
- proposals meet OHS legislative requirements and address organisational OHS objectives

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating theoretical concepts, with substantial depth in some areas.

- 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
- Financial planning within the organisation
- Budgeting
- Organisation's objectives and plans (strategic, tactical and operational)
- Consultative methods and processes
- Capital investment evaluation techniques
- Performance measurement
- Organisation roles in respect to financial delegations, accountabilities and responsibilities
- Standards for organisational record-keeping and audit requirements

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Evidence Guide

Underpinning Skills

- Analytical skills to analyse and interpret relevant financial information
- Financial planning skills to develop formal estimates of reviews, costs, cash flows and logistic requirements
- Communication/consultation skills to ensure all relevant groups and individuals are advised of what is occurring and are provided with an opportunity for input
- Cost and benefit analysis skills to produce balanced arguments to support financial proposals
- Risk management skills to assess probability and consequences of any potential negative event
- Investment analysis skills to evaluate capital expenditure proposals (NPV, IROR, etc)
- Negotiation skills to negotiate agreement on budgets and financial plans with the relevant managers
- Ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities

Resource Implications

The learner and trainer should have access to appropriate documentation and resources normally used in the workplace

Consistency of Performance

In order to achieve consistency of performance, evidence should be collected over a set period of time which is sufficient to include dealings with an appropriate range and variety of situations

Context/s of Assessment

- Competency is demonstrated by performance of all stated criteria, including paying particular attention to the critical aspects and the knowledge and skills elaborated in the Evidence Guide, and within the scope as defined by the Range Statement
- Assessment must take account of the endorsed assessment guidelines in the Business Services Training Package
- Assessment of performance requirements in this unit should be undertaken in an actual workplace or simulated environment
- Assessment should reinforce the integration of the key competencies and the business services common competencies for the particular AQF level. Refer to the Key Competency Levels at the end of this unit

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Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 3	Level 3	Level 3	Level 3	Level 2	Level 3	Level 2

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information –** to support budget proposals
- **Communicating ideas and information –** to develop a communication plan for the budget
- **Planning and organising activities –** to develop budgets
- **Working with teams and others –** to ensure appropriate groups and individuals participate in the process
- **Using mathematical ideas and techniques –** to build the budget and other financial plans
- **Solving problems –** to successfully negotiate commitment to the plans
- **Using technology –** to assemble the plans and communicate them to users of the plans

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

BSBMGT504A Manage budgets and financial plans

Unit Descriptor

This unit covers all of the significant aspects of financial management for operational managers who are not financial specialists. It emphasises the preparation of users of budgets/financial plans through communication and training and consistent surveillance over budget performance, with early intervention where required.

Consider co-assessment with BSBMGT503A Prepare budgets and financial plans.

Competency Field

Business Management Services

Element	Performance Criteria
1. Communicate budget and financial plans	1.1 Budget/financial plan communication package reviewed by finance specialists
	1.2 Package is amended/revised where appropriate
	1.3 *Training activities* are undertaken with users of the budget and plans across the organisation
	1.4 All data and terms are defined and understood by the users of the plans
	1.5 Communication outcomes are tested to ensure clear understanding of objectives, processes and accountabilities
2. Monitor and control activities against plans	2.1 *Delegations and budget accountabilities* are confirmed in writing prior to budget period
	2.2 Funds are allocated in accordance with budget objectives and parameters
	2.3 Recording systems and documentation meet all *audit requirements* and legal obligations
	2.4 *Risk management* plans are implemented and contingency plans in place for all financial plans
	2.5 Performance is monitored and variances identified on a *real time* basis
	2.6 Variances are analysed in conjunction with relevant experts to determine cause and effect
	2.7 Remedial action is taken swiftly to minimise negative impact and maximise benefits
	2.8 Budgets and plans are renegotiated/restructured where necessary to optimise organisational performance
3. Report outcomes of financial plans	3.1 Records of financial performance are properly maintained within organisational systems

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Element	Performance Criteria
	3.2 Financial performance is analysed and reported in a form and language appropriate to the audience
	3.3 *Non financial objectives* are reported in the context of overall organisational performance
	3.4 Strategies and plans are reviewed and updated to optimise organisational performance

Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Legislation, codes and national standards relevant to the workplace which may include:	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Training activities may include:	• small group discussions • informal meetings • formal, structured competency standards/training • tele and video conferencing • e-learning
Delegations and budget accountabilities may include:	• monitoring expenditure • authorising expenditure within limits • reporting on variances to budget/plan • taking remedial action within budget authority
Audit requirements refer to:	• the internal standards required in the management of budgets and financial plans, approved by external/internal auditors
Risk management means:	• the process of identification of potential negative events and the development of plans to mitigate or minimise the likelihood of the negative event occurring and/or the consequences in the event it does occur

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Range Statement

Real time refers to:	• on-line, instantaneous monitoring of performance/activities
Appropriate non financial objectives may include:	• environmental • OHS • quality • market share • customer service • security or any other key result area

Evidence Guide

The Evidence Guide identifies the critical aspects, knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence	• Evidence must cover all aspects of business operations in which financial management and decision-making occurs. Period activities relating to revenue expenditure and cash flow management, as well as capital expenditure proposals and capital budgeting, must be incorporated into the assessment • The role of the operational manager as a communicator and trainer in respect to the implementation of the budget needs, also must be integrated into the overall assessment, along with regular and quality reporting of budget performance • Evidence of analysis of budget performance and follow up action
OHS considerations may include:	• establishment and maintenance of OHS records • assessment of OHS performance in financial and non-financial terms

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Evidence Guide

Underpinning Knowledge*

*At this level the learner must demonstrate understanding of a broad knowledge base incorporating theoretical concepts, with substantial depth in some areas.

- 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
- Financial planning within the organisation
- Budgeting
- Organisation's objectives and plans (strategic, tactical and operational)
- Consultative methods and processes
- Capital investment evaluation techniques
- Performance measurement
- Organisation roles in respect to financial delegations, accountabilities and responsibilities
- Standards for organisational record-keeping and audit requirements

Underpinning Skills

- Financial planning skills to develop formal estimates of reviews, costs, cash flows and logistic requirements
- Communication and training skills to ensure team members and other managers understand the budget/financial planning objectives and processes
- Risk management skills to assess probability and consequences of any potential negative event
- Analysis skills to interpret positive and negative variances from budget/plan, determine the reasons therefore, and identify potential actions to remediate the situation
- Systems management skills to ensure financial performance records are collected, maintained and properly reported
- Ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities

Resource Implications

The learner and trainer should have access to appropriate documentation and resources normally used in the workplace

Consistency of Performance

In order to achieve consistency of performance, evidence should be collected over a set period of time which is sufficient to include dealings with an appropriate range and variety of situations

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Evidence Guide

Context/s of Assessment

- Competency is demonstrated by performance of all stated criteria, including paying particular attention to the critical aspects and the knowledge and skills elaborated in the Evidence Guide, and within the scope as defined by the Range Statement
- Assessment must take account of the endorsed assessment guidelines in the Business Services Training Package
- Assessment of performance requirements in this unit should be undertaken in an actual workplace or simulated environment
- Assessment should reinforce the integration of the key competencies and the business services common competencies for the particular AQF level. Refer to the Key Competency Levels at the end of this unit

Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 3	Level 3	Level 3	Level 3	Level 2	Level 3	Level 2

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information –** to monitor budget performance
- **Communicating ideas and information –** to ensure the budget and its impact on people is understood
- **Planning and organising activities –** to train users in the elements of the budget which affect them
- **Working with teams and others –** to review budget performance
- **Using mathematical ideas and techniques –** to measure budget performance, calculate variances and present outcomes
- **Solving problems –** to maintain operations within budget
- **Using technology –** to manage budget performance and develop performance reports

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSBMGT505A Ensure a safe workplace

Unit Descriptor

This unit has been adapted from Generic Competency C in the *National Guidelines for Integrating Occupational Health and Safety Competencies into National Industry Competency Standards* [NOHSC:7025 (1998) 2nd edition].

It is relevant for those with managerial responsibilities, either as an owner or employee manager, of a business.

The unit is concerned with establishing, maintaining and evaluating the organisation's Occupational Health and Safety policies, procedures and programs in the relevant work area in accordance with OHS legal requirements. All those who have (or are likely to have) a management responsibility for OHS should undertake this unit.

This unit is related to BSBMGT603A Review and develop business plans, BSBMGT604A Manage business operations, BSBMGT608A Manage innovation and continuous improvement, BSBMGT609A Manage risk and BSBMGT610A Manage environmental management systems.

Competency Field

Business Management Services

Element	Performance Criteria
1. Establish and maintain an Occupational Health and Safety system	1.1 Occupational health and safety policies are developed which clearly express the organisation's commitment to implement relevant *Occupational Health and Safety legislation* in the enterprise
	1.2 Occupational Health and Safety *responsibilities* for all workplace personnel are defined to allow implementation of Occupational Health and Safety policies, procedures and programs
	1.3 Financial and human resources for the effective operation of the Occupational Health and Safety system are identified and provided
	1.4 Information on the Occupational Health and Safety system and its operational procedures is provided and explained to employees
2. Establish and maintain participative arrangements for the management of Occupational Health and Safety	2.1 *Participative arrangements* are established and maintained with employees and their representatives in accordance with relevant Occupational Health and Safety legislation
	2.2 Issues raised through participative arrangements and consultation are dealt with and resolved promptly and effectively in accordance with procedures for issue resolution

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Element	Performance Criteria
	2.3 Information about the outcomes of participation and consultation is provided in a manner accessible to employees promptly
3. Establish and maintain procedures for identifying hazards, and assessing and controlling risks	3.1 Procedures for ongoing hazard identification and assessment & control of associated risks are developed 3.2 Hazard identification is addressed 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 3.3 Procedures for selection and implementation of risk control measures in accordance with the hierarchy of control are developed and maintained 3.4 Inadequacies in existing risk control measures are identified in accordance with the hierarchy of control and resources enabling implementation of new measures are provided promptly
4. Establish and maintain a quality Occupational Health and Safety management system	4.1 An Occupational Health and Safety induction and training program is developed and provided for all employees as part of the organisation's training program 4.2 A system for *Occupational Health and Safety record keeping* is established and maintained to allow identification of patterns of occupational injury and disease in the organisation 4.3 Measurement and evaluation of the Occupational Health and Safety system is undertaken in line with the organisation's Quality Systems' framework 4.4 Improvements to the Occupational Health and Safety system are developed and implemented to achieve organisational Occupational Health and Safety objectives 4.5 Compliance with the Occupational Health and Safety legislative framework is assessed to ensure that legal Occupational Health and Safety standards are maintained as a minimum

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Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Legislation, codes and national standards relevant to the workplace which may include:

- award and enterprise agreements and relevant industrial instruments
- 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 industry codes of practice

Occupational Health and Safety legislation will depend on state and territory legislation and requirements and will include:

- common law duties to meet general duty of care requirements
- regulations and approved codes of practice relating to hazards in work area
- requirements for establishment of consultative arrangements including those for health and safety representatives and Health and Safety committees
- requirements for effective management of hazards
- requirements for provision of information and training including training in safe operating procedures, procedures for workplace hazards, hazard identification, risk assessment and risk control and emergency and evacuation procedures
- requirements for the maintenance and confidentiality of records of occupational injury and disease

Establishment and maintenance of arrangements for management of OHS in the organisation may include:

- obtaining expert OHS advice as required
- consultation
- designing safe operations & systems of work
- provision of information and training
- specific hazard management policies and procedures for:
  - hazard reporting by employees
  - hazard identification
  - assessment of risks associated with identified hazards
- control of risks in accordance with the hierarchy of control namely:
  - elimination

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Range Statement

- engineering
- administrative
- personal protective equipment
- workplace inspections including plant and equipment
- OHS records' maintenance and analysis
- housekeeping and storage
- purchasing of supplies and equipment
- issue resolution
- counselling/disciplinary processes

Organisational health and safety record-keeping may relate to:

- audit & inspection reports
- workplace environmental monitoring records
- consultation, e.g. meetings of Health & Safety Committees, work group meeting agendas including OHS items and actions
- induction, instruction & training
- manufacturer's and supplier's information including dangerous goods storage lists
- hazardous substances registers
- plant and equipment maintenance and testing reports
- workers compensation & rehabilitation records
- first aid/medical post records

Evidence Guide

The Evidence Guide identifies the critical aspects, knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- Detailed knowledge and application of all relevant OHS legislative frameworks
- Principles and practice of effective OHS management in a small, medium or large business
- Establishment and maintenance of arrangements for managing OHS within the organisations' business systems and practices
- Identification of intervention points for expert OHS advice
- Detailed knowledge of workforce characteristics and how they impact on the design and maintenance of OHS in the organisation

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Evidence Guide

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating theoretical concepts, with substantial depth in some areas.

- 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
- Understanding the principles and practices of effective Occupational Health and Safety management
- Understanding of the application of the hierarchy of control (the preferred order of risk control measures from most to least preferred, that is, elimination, engineering controls, administrative controls, personal protective equipment)
- Knowledge of relevant OHS legislative frameworks
- Understanding the principles and techniques associated with modelling safe work practices, hazard identification and risk management
- Knowledge of how to develop and promote a safety culture
- Understanding how to provide and arrange support so individuals/groups are competent to fulfil workplace requirements
- Understanding the actual and potential workplace and environmental impact of non-conformance
- Knowledge of facilitating incident investigation and process improvement
- Knowledge non-conformance reporting requirements
- Prepare and negotiate reports and recommendations to improve safety
- Knowledge of literacy levels and communication skills of work group members and consequent suitable communication techniques

Underpinning Skills

- Ability to analyse the working environment in order to identify hazards, assess risks and control risks
- Ability to analyse relevant workplace data in order to identify hazards, assess and control risks
- Ability to analyse relevant workplace data in order to evaluate effectiveness of the OHS management system
- Functional literacy skills to access and use workplace information
- Communication skills including researching and analysing information, reporting

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Evidence Guide

- Interpersonal skills to relate to people from a range of social, cultural and ethnic backgrounds
- Problem-solving skills to deal with complex and non-routine difficulties
- Team work skills to work effectively with teams/groups
- Consultation skills to effectively consult with colleagues
- Select and use technology skills at the appropriate level
- Coaching and mentoring skills to provide support to colleagues
- Ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities

Resource Implications

The learner and trainer should have access to appropriate documentation and resources normally used in the workplace

Consistency of Performance

In order to achieve consistency of performance, evidence should be collected over a set period of time which is sufficient to include dealings with an appropriate range and variety of situations

Context/s of Assessment

- Competency is demonstrated by performance of all stated criteria including the Evidence Guide and the Range Statement applicable to the workplace
- Assessment must take account of the endorsed assessment guidelines in the Business Services Training Package
- Assessment of performance requirements in this unit should be undertaken in an actual workplace or simulated environment
- Assessment should reinforce the integration of the key competencies and the business services common competencies for the particular AQF level. Refer to the Key Competency Levels at the end of this unit

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Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 2	Level 2	Level 2	Level 2	Level 2	Level 3	Level 2

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – to obtain information to advise colleagues of safety responsibilities
- **Communicating ideas and information** – to resolve safety issues with work team
- **Planning and organising activities** – to plan resource requirements
- **Working with teams and others** – to consult on the control of risk
- **Using mathematical ideas and techniques** – to calculate resource requirements
- **Solving problems** – to investigate improved work methods
- **Using technology** – to use computing systems to access safety information

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

BSBMGT506A Recruit, select and induct staff

Unit Descriptor This unit covers all aspects of selection and recruitment relevant to managers who are not specialists in the area. It ensures that managers engage in appropriate planning and that selection and induction leads to the recruitment and retention of high quality staff. This unit is almost essential for those who now have (or are likely to have) an involvement in or responsibility for recruiting, selecting and/or inducting staff.

Competency Field Business Management Services

Element	Performance Criteria
1. Determine future people needs	1.1 Planning for future people requirements is consistent with strategic and operational plans
	1.2 Consultation occurs with all appropriate managers and sections
	1.3 *Position descriptions, person specifications* and criteria for selection are developed and approved
	1.4 *Position descriptions* and *person specifications* comply with all *organisational and legal requirements*
2. Select appropriate people	2.1 Persons involved in assessment/selection process are appropriate for the position
	2.2 Candidates are assessed against *pre-agreed selection criteria*
	2.3 Selection decisions are based on *performance based selection techniques* and direct evidence
	2.4 Candidates all receive feedback through the process
	2.5 Record-keeping complies with organisational and legal requirements
3. Confirm employment arrangements	3.1 Inform relevant people of the selection decision and prepare development plan based on selection process
	3.2 *Conditions of employment* as approved for the position are agreed with the successful candidate
	3.3 Induction arrangements are agreed with the candidate and other relevant managers
	3.4 Induction is undertaken in accordance with the induction plan and a training plan developed

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Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Legislation, codes and national standards relevant to the workplace which may include:

- award and enterprise agreements and relevant industrial instruments
- 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 industry codes of practice

Position description refers to:

- a written statement of the duties, tasks and responsibilities for a particular job or position

Person specification refers to:

- a written statement of the skills, knowledge, attitude, aptitudes and experience required for a particular job or position

Organisational and legal requirements means:

- compliance with all relevant statutes, regulations and audit requirements of the organisation, along with the organisation's policies and values

Pre-agreed selection criteria may include:

- educational qualifications
- statutory qualifications/certificates
- competencies required (including interpersonal skills)
- potential for growth
- essential experience
- desirable experience
- ability to work in the particular environment

Performance based selection techniques may include:

- in-basket
- case studies
- scenarios
- simulations
- actual performance
- skills/knowledge testing
- an assessment centre (with some or all of the above)

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Range Statement

Conditions of employment may include:

- salary/wages
- penalty rates
- holidays and leave entitlements
- superannuation
- hours of work
- grievance procedures

Evidence Guide

The Evidence Guide identifies the critical aspects, knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- The evidence should clearly demonstrate that the required planning and preparatory processes have been undertaken
- It should also evidence actual interviewing and the use of performance based selection techniques
- Induction should be observed by the assessor to ensure the competence of the individual to follow an induction plan which is clearly established

OHS considerations may include:

- national, state/territory legislative requirements especially in regard to Occupational Health and Safety
- industry codes of practice

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating theoretical concepts, with substantial depth in some areas.

- 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
- Consultation processes and methods
- Succession planning/HR planning
- Organisation policies and procedures
- Legal requirements
- Performance based selection techniques
- Organisational requirements for record-keeping and documentation
- Award agreements, contracts of employment (including conditions)

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Evidence Guide

Underpinning Skills

- Communication/consultation skills to ensure all relevant groups and individuals are advised of what is occurring and are provided with an opportunity for input
- Developing position descriptors/person specifications for positions for which they are responsible
- Developing selection criteria
- Designing an appropriate competency based and performance based selection plan
- Induction/training skills to prepare direct reports for the safe and efficient performance of their job
- Interviewing skills to participate in selection interviews as required
- Ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities

Resource Implications

The learner and trainer should have access to appropriate documentation and resources normally used in the workplace

Consistency of Performance

In order to achieve consistency of performance, evidence should be collected over a set period of time which is sufficient to include dealings with an appropriate range and variety of situations

Context/s of Assessment

- Competency is demonstrated by performance of all stated criteria, including paying particular attention to the critical aspects and the knowledge and skills elaborated in the Evidence Guide, and within the scope as defined by the Range Statement
- Assessment must take account of the endorsed assessment guidelines in the Business Services Training Package
- Assessment of performance requirements in this unit should be undertaken in an actual workplace or simulated environment
- Assessment should reinforce the integration of the key competencies and the business services common competencies for the particular AQF level. Refer to the Key Competency Levels at the end of this unit

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Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 3	Level 3	Level 3	Level 3	Level 1	Level 3	Level 2

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information –** to prepare for the selection interviews/activities
- **Communicating ideas and information –** to ensure the candidates fit the organisation
- **Planning and organising activities –** to ensure the selection processes go smoothly
- **Working with teams and others –** to take advice from Human Resource specialists where appropriate
- **Using mathematical ideas and techniques –** to calculate weightings/score an interview
- **Solving problems –** to determine short-listing of suitable candidates
- **Using technology –** to help select candidates on a competence/performance based assessment

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSBMGT507A Manage environmental performance

Unit Descriptor

This unit covers the development, maintenance and evaluation of the organisation's environmental policies and procedures in regard to environmental sustainability as an integral part of business planning.

All those who have a management responsibility would be advised to take this unit. It is also very useful for small businesses.

This unit is related to BSBMGT505A Ensure a safe workplace, BSBMGT609A Manage risk and BSBMGT610A Manage environmental management systems.

Competency Field Business Management Services

Element	Performance Criteria
1. Develop a business plan to enhance *environmental performance*	1.1 A business plan is developed that reflects the organisation's *policies* and commitment to *environmental sustainability* as an integral part of business operations
	1.2 Procedures are developed to maximise/enhance integration of environment, finance, safety and other areas of impacts and opportunities
	1.3 Procedures are developed to *maximise environmental opportunities* and *minimise environmental impacts*, and *expert* advice is obtained as required
	1.4 Continuous improvement policies and practices *monitor* and *report* on the environmental performance of the organisation
	1.5 The organisation's activities and *products* are designed to minimize *life cycle impacts*
	1.6 Financial and human resources for the operation of environmental systems are identified, sought and/or provided as required
	1.7 Changing trends and opportunities relevant to the organisation are identified, analysed and taken into account at the planning stage
2. Manage environmental impact and opportunity	2.1 Identification and assessment of existing and potential environmental impacts and opportunities is conducted and advice is sought as required
	2.2 Procedures for ongoing management of environmental impacts and opportunities are developed and integrated with the organisation's policies and procedures
	2.3 *Environmental procedures* are addressed at the planning, design and evaluation stages of any change

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Element	Performance Criteria
	in the workplace to ensure that ongoing impacts and opportunities are identified
	2.4 Contingency plans are established to manage impacts and opportunities when long-term solutions are not readily available
	2.5 Ongoing training program is developed to identify and fulfil employees' environmental training needs
3. Promote innovation and opportunity	3.1 *Continuous improvement* and sustainable innovation are promoted as an essential part of doing business
	3.2 Procedures are developed to analyse and communicate the costs and benefits of innovations and improvements
	3.3 New ideas are actively sought and entrepreneurial behaviour is encouraged in employees, workplace committees and teams
	3.4 Procedures are established to actively seek the support of the supply chain for implementing sustainable innovation and continuous improvement
	3.5 Members of the *supply chain* are encouraged to meet high standards of environmental performance
4. Manage system to record and report environmental impacts and opportunities	4.1 System is managed to *record and report* environmental performance as an integral part of the organisation's record keeping and performance evaluation system
	4.2 Patterns of environmental non-compliance are identified and addressed and opportunities for environmental management improvements are acted upon
5. Evaluate environmental performance	5.1 Processes are developed to ensure that ongoing evaluation of environmental performance, is part of the organisation's procedures

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Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Legislation, codes and national standards relevant to the workplace which may include:	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Knowledge of legislation, codes, national standards, industry codes of practice and workplace policies and procedures must:	• be strictly relevant to the particular workplace and is not intended to include detailed technical aspects of environmental science and • details of legislation must be directly relevant to the workplace • be consistent with the concept that people at this level, will be dealing with environmental concepts as part of an overall management responsibility and not as an environmental specialist
Environmental performance may be defined as:	a measure of an organisation's impact on the environment and of their ability to manage that impact
Environmental policies must be	• relevant to organisation's operations and must be appropriate to the scope and scale of the business
Environmental policies may address:	• local, national and international innovations, programs and ideas • triple bottom line principles i.e. the integration of environmental, commercial and social aspects of business operations • concepts of business sustainability • environmental load reduction and waste minimisation • tenders for the provision of goods and services that specify environmentally preferred selection criteria (eg. use of paper packaging rather than plastic) • protection of land and habitat and ecological considerations • procedures for media releases as a result of incidents

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Range Statement

Environmental improvement plans may be established at management level and may include:	• measuring, monitoring and recording environmental performance, and continually setting targets for measurable improvements • all aspects of environmental performance including energy and other resource use, waste minimisation, recycling, transport use etc
Environmental sustainability must be relevant to the organisation's operations and may include:	• recognition of natural earth systems and how natural systems work
Environmental sustainability may affected by:	• organisational culture and operations • internal or external economic climate • political climate • market focus/considerations
Business sustainability means:	• A sustainable business in this sense is profitable and competitive in the foreseeable future. Effective management of environmental impacts and opportunities can contribute to business sustainability by reducing costs, differentiating goods and services and contributing to a better corporate image.
"Maximise opportunities to improve environmental performance" can provide opportunities to improve business operations including increases in:	• corporate image/citizenship • staff morale • cost reduction • product differentiation/branding • identification of market potential
To "minimise environmental impact", means to minimise the organisations negative effects on the environment including:	• waste minimisation and recycling • emissions/spills • resource efficiency including water, energy • alternative energy sources • reduction in use of non-renewable resources
Expert assistance and/or advice may be sought from:	• internal or external sources/specialists • consultants or other experts or specialists

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Range Statement

Monitor and report in this context means to maximise and continually seek to improve business performance by developing procedures which monitor and report on:	• variances • deficiencies • improvements • trends
Products may include:	• goods, including packaging • services
Life cycle impacts may include:	• tendering and purchasing processes to include life cycle criteria • product design and manufacture • packaging policies • product use • product disposal • vehicle policies that include use of cleaner fuels/alternative energy sources and regular servicing intervals to reduce pollution and improve efficiency
Environmental procedures may include:	• procedures that may have an influence on the organisation's environmental performance
Environmental management training program should be:	• integrated into the organisation's existing training arrangements
Continuous improvement and innovation means:	• consistently reviewing activities in search of a better way and improving the organisation in all aspects of its operation
Supply chain may include:	• suppliers • contractors • others acting on organisation's behalf • supply should be identified as a key determinate of environmental performance
Recording and reporting systems may include:	• internal and external reporting requirements

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Evidence Guide

The Evidence Guide identifies the critical aspects, knowledge and skills to be demonstrated to confirm competency for this unit. This is an integral part of the assessment of competency and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- Evidence will need to be provided of the ability to identify, plan, manage and promote environmental sustainability within the organisation and to contribute to the development of environmental management policies that minimise impacts and maximise opportunities within the organisation
- N.B. Particular note must be taken that evidence must be strictly relevant to the particular management role and is not intended to include detailed technical aspects of environmental science

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating theoretical concepts, with substantial depth in some areas.

- 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
- Required knowledge is to be limited to that which is sufficient to perform the particular management function and is intended to promote environmental awareness rather than technical environment competencies
- Relevant business planning concepts
- Environment sustainability as a “whole-system” approach
- Quality assurance procedures
- Strategies to maximise opportunities and minimise environment impact
- Relevant training and record keeping concepts
- Relevant knowledge of environmental issues especially in regard to water catchments, air, noise, ecosystems, habitat, waste minimisation
- Relevant knowledge of ecological systems in regard to business operation

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Evidence Guide

Underpinning Skills

- Communication/consultation skills to ensure all relevant groups and individuals are advised of what is occurring and are provided with an opportunity for input
- Conflict management skills to mediate, negotiate and/or attempt to obtain consensus between parties
- Analysis skills to identify potential environmental and ecological impacts and opportunities in regard to business operation
- Problem solving skills to deal effectively with environmental impacts and opportunities as identified
- Ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities

Resource Implications

The learner and trainer should have access to appropriate documentation and resources normally used in the workplace

Consistency of Performance

In order to achieve consistency of performance, evidence should be collected over a set period of time which is sufficient to include dealings with an appropriate range and variety of situations

Context/s of Assessment

- Competency is demonstrated by performance of all stated criteria, including paying particular attention to the critical aspects and the knowledge and skills elaborated in the Evidence Guide, and within the scope as defined by the Range Statement
- Assessment must take account of the endorsed assessment guidelines in the Business Services Training Package
- Assessment of performance requirements in this unit should be undertaken in an actual workplace or simulated environment
- Assessment should reinforce the integration of the key competencies and the business services common competencies for the particular AQF level. Refer to the Key Competency Levels at the end of this unit

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Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 3	Level 3	Level 3	Level 3	Level 3	Level 3	Level 3

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – to aid planning
- **Communicating ideas and information** – to promote environmental policies
- **Planning and organising activities** – to develop environmental management strategies
- **Working with teams and others** – to control impacts, maximise opportunities and to gain support for management strategies
- **Using mathematical ideas and techniques** – to aid planning
- **Solving problems** – to develop management strategies and operational procedures
- **Using technology** – to access and record information

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSBMGT508A Manage risk management system

Unit Descriptor

This unit specifies the outcomes required to manage the risk management system on an ongoing basis across the organisation, following the design and approval of a risk management system.

Competency Field

Business management services

Domain

Strategic management

Application of the Competency

This unit addresses the management of the risk management system across the organisation or within a business unit or project including monitoring, review and continuous improvement of the system and reporting the benefits of the system to stakeholders.

The unit includes ensuring information and resources are provided for effective assessment and treatment of risk; managing training of staff in risk management; supporting staff; providing advice in risk management; and facilitating recovery if risk eventuates to ensure continuity of operations.

This unit does not cover design of the risk management system. This competency is covered by BSBMGT611A Develop risk management strategy.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Maintain infrastructure and processes for managing risk management system	1.1 *Information and resources* to manage *risk* management system are provided for staff to carry out responsibilities in managing risk
	1.2 Currency and access for staff to required information related to risk management is maintained
	1.3 Information, costs and statistics on risk management are collected for monitoring and review purposes
	1.4 Currency of own knowledge and skills in risk management is maintained
	1.5 Insurances required to comply with legislative requirements and to cover risks that have been treated but cannot be eliminated, are determined and arranged
	1.6 *Audits* of compliance requirements for treatment of risk are undertaken

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2. Support other staff to manage risk	2.1 Staff are provided with information and resources relevant to the risk management system and its implementation and management
	2.2 Advice is provided to staff in relation to risk management
	2.3 *Training* of staff in risk management is managed and recorded according to established system
	2.4 Problems arising in risk management are addressed with relevant staff
	2.5 Projects and work groups addressing issues in risk management are managed to facilitate treatment of risk
	2.6 *Promotion* of risk management system is undertaken to all staff
3. Facilitate risk recovery processes	3.1 Contingency plans are implemented in the event of identified risks eventuating
	3.2 *Processes for recovery* are implemented
	3.3 Continuity of operations is facilitated
	3.4 Following recovery, analysis is undertaken to determine strategies for minimising likelihood of recurrence and minimising impact
4. Monitor and review system implementation	4.1 The risk management system is monitored and evaluated
	4.2 Effectiveness of system and policy for managing risk is analysed against *expected outcomes*
	4.3 Evaluation results are used to make recommendations for improvement to policy and practices and *approval* gained for implementing changes
	4.4 Revised policy and practices are implemented in accordance with organisational requirements

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

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Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Information and resources may include:	• the organisation's strategic position and policy on risk • the organisations's risk management plan • risk analysis tools • procedures for the ongoing identification of risks • risk register of identified risks • results of risk audits • training and support for staff • access to internal and external specialist assistance
Risk may include those relating to:	• commercial and legal relationships • economic circumstances and scenarios • human behaviour • natural events • political circumstances • technology – technological issues • management activities and controls • individual activities
Audits will be:	• undertaken by trained staff and/or external auditors according to documented schedules in risk management strategy
Training may include:	• formal training through a Registered Training Organisation • in-house training • coaching or mentoring • information sessions provided by external consultants such as insurance representatives and legal practitioners
Methods of promotion may include:	• information sessions • briefings • written materials • specific training

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Recovery processes may include:	• repair or replacement of equipment • retraining • alternative suppliers, production sources or methods and temporary outsourcing
Expected outcomes will usually be documented in:	• risk management strategy • key performance indicators • relevant policies and procedures
Approval may involve:	• management, CEO or Board

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this standard must be able to provide evidence that they have managed the risk management strategy for the organisation over a period of time. Evidence will include both the products and processes used to manage the system in the form of maintaining required physical and human resources, supporting staff to manage risk, implementing recovery processes where projected risks eventuate, and monitoring and reviewing the system to identify and implement improvements in risk management.

Specific Evidence Requirements

Required knowledge and understanding include:

- occupational health and safety (OHS), for example:
  - state, territory and commonwealth legislation in OHS and public safety
  - organisation-specific OHS legislation
  - OHS provisions relevant o own work including ergonomics for key boarding and work station
- legislation, codes of practice and national standards, for example:
  - duty of care
  - company law
  - contract law
  - industrial relations law
  - privacy and confidentiality
  - freedom of information

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  - environmental law
  - legislation relevant to organisation's operations
  - legislation related to operation as a business entity
- organisational policies and procedures:
  - risk management strategy
  - policies and procedures for risk management
- overall operations of organisation
- reasonably adjusted workplaces, equipment and processes for people with a disability
- types of available insurance and insurance providers
- auditing requirements

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- communication skills:
  - negotiation and consultation skills
  - written communication skills
  - presentation skills for information sessions, briefings and training
- risk assessment and treatment skills
- monitoring, review and evaluation skills
- auditing skills
- problem-solving skills
- attributes:
  - analytically minded
  - systematic and thorough

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (2)

- communicating verbally to promote system across the organisation
- supporting and advising staff
- communicating in writing to promote system, monitor and review processes, and develop revised policy and procedures

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Collecting, analysing and organising information (2)	• maintaining currency of own knowledge and skills and that of other key personnel managing risk • undertaking analysis following risk recovery • collecting and analysing data for monitoring and review of management of system
Planning and organising activities (2)	• planning recovery operations where required • organising to maintain currency of skills, knowledge and information for staff in area of risk management
Working in a team (2)	• working with staff across the organisation to manage risk • working with external personnel such as insurance brokers, specialists and consultants, and representing the organisation
Using mathematical ideas and techniques (2)	• using calculations involved in analysis of data
Solving problems (2)	• applying problem-solving techniques where projected risks eventuate • solving problems referred by staff
Using technology (1)	• using software for document production, collation and analysis of data • using software specifically designed for risk management • using assistive technology, if required
Innovation skills (2)	• introducing changes to established system as a result of review and evaluation process

Products that could be used as evidence include:

- documented insurances
- library of information or knowledge management system for risk management
- advice provided to staff on risk management
- training or learning and development plans for staff in area of risk management
- data collected to monitor risk management across the organisation
- examples of risk recovery implementation
- reviews undertaken of risk management
- identified improvements in strategy as a result of review and evaluation process

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Processes that could be used as evidence include:	• how infrastructure and processes for managing risk management were maintained • how own currency of information, skills and knowledge has been maintained • how required insurances were determined • how staff have been supported in relation to risk management • how recovery processes were planned in advance • how system has been monitored • how review and evaluation process have been undertaken and how improvements were identified and implemented
Resource implications for assessment include:	• access to workplace documentation • access to other personnel involved in managing risk within specific areas of organisation's operations
Validity and sufficiency of evidence requires:	• that where assessment of underpinning knowledge and skills is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • that assessment may be through simulated project-based activity or actual management of a risk management system
Integrated competency assessment means:	• this unit can be assessed alone or as part of an integrated assessment activity involving other relevant management, project management units and risk management units

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BSBMGT509A Manage a knowledge management system

Unit Descriptor

This unit specifies the outcomes required to organise learning to use a knowledge management system, and manage the use of a knowledge management system.

Competency Field

Business management services

Domain

Strategic management

Application of the Competency

This unit addresses the management and support of an established knowledge management system within an organisation, to ensure it is used effectively by all personnel and relevant stakeholders to increase productivity, improve quality or recognise other benefits to the organisation through the improved use of knowledge.

The unit does not apply to the roles of data management (the management of systems to record numbers, characters or other raw data) or information management (the management of records, forms, very basic reports, correspondence or other information). It applies to the management and support of a system that sits above data and information to convert them into knowledge, and applies that knowledge to the organisation's work.

Accordingly, the unit is for people who are not necessarily specialists in information and communications technology, records management, public relations or training, but who have knowledge management responsibilities as part of a management role.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
5. Organise learning to use knowledge management system	1.1 Learning needs of *relevant personnel* and *stakeholders* for input into, and use of, *a knowledge management system* are identified 1.2 Human, financial and physical resources required for *learning activities* to use a knowledge management system are identified and secured 1.3 *Learning activities* are organised and facilitated 1.4 Use of the system is promoted and supported throughout the organisation 1.5 Effectiveness of learning activities is monitored and documented

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6. Manage use of knowledge management system	2.1 Implementation of *policies and procedures for the knowledge management system* are monitored for compliance, effectiveness and efficiency
	2.2 Implementation issues and problems are addressed as they arise
	2.3 Integration and alignment with data and information systems is monitored
	2.4 Information on achievement of *performance measures* is collected

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Relevant personnel include:	• owners • managers, leaders, supervisors and coordinators • staff, team members and colleagues
Stakeholders include:	• clients and customers • employee representatives • industry, professional and trade associations • funding bodies • regulatory bodies and authorities • sponsors • tenderers, suppliers and contractors
Knowledge management is defined as:	• the whole range of strategies, methods, activities and techniques used formally and informally by individuals and the organisation to identify, collect, organise, store, retrieve, analyse, share and apply knowledge to the work of the organisation
A knowledge management system is:	• a planned and implemented system comprising policies, protocols, procedures and practices to manage knowledge within the organisation and among relevant stakeholders

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Learning activities include:	• paper-based or electronic (including intranet) learning opportunities • information sessions, briefings, workshops and training programs • coaching and mentoring programs • help desks • use of expert workers as coaches and mentors to help other personnel use the system
Policies and procedures for the knowledge management system cover:	• selecting, maintaining and disposing of knowledge in the system • ensuring accuracy and relevance of knowledge input into the system • sharing of knowledge in the system • complying with legislative requirements (such as privacy, confidentiality and defamation requirements) and other policies and procedures • mechanisms, formats and styles of input to system, including appropriate alternative formats for people with a disability • permissions for input • content guidelines • removing out-of-date, inaccurate and no-longer-relevant content
Performance measures include:	• performance objectives • key performance indicators • performance standards (including codes of conduct) • qualitative or quantitative mechanisms to measure individual performance • other systems and measures to enable assessment of how, when, where and why outcomes are being achieved

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

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Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that they have organised the learning that personnel and relevant stakeholders need to effectively use a knowledge management system; have implemented the system according to defined procedures; addressed issues and problems arising (without conducting a formal review or addressing issues best conducted through a formal review); and monitored performance against set criteria. Assessment requires demonstration of a detailed understanding of a knowledge management system.

Specific Evidence Requirements

Required knowledge and understanding include:

- legislation, codes of practice and national standards, for example:
  - privacy and confidentiality legislation
  - freedom of information legislation
  - Australian Standard HB 275–2001 Knowledge Management – A framework for succeeding in the knowledge era
- organisational policies and procedures, for example:
  - records management
  - information management
  - customer service
  - commercial confidentiality
- organisational operations and existing data and information systems
- organisational structure
- all aspects of the knowledge management system
- information technology and communication systems across the organisation, including reasonable adjustments for people with a disability

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- management and leadership skills
- communication skills
- monitoring and review skills
- attributes:
  - thoroughness
  - attention to detail
  - systematic thinking

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Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (2)	• communicating verbally and in writing with other personnel to promote the knowledge management system and its use • communicating in writing to produce documents, and identify issues and problems
Collecting, analysing and organising information (2)	• collecting and analysing data on learning needs of personnel and stakeholders, and human, financial and physical resources • organising information on learning activities
Planning and organising activities (2)	• planning and facilitating learning in use of system • planning and organising monitoring of system
Working in a team (2)	• working with system users to maximise use of the system
Using mathematical ideas and techniques (–)	• not applicable
Solving problems (2)	• addressing problems arising in use of system
Using technology (2)	• aligning data and information systems with knowledge management system • using word processing software for document production and other software specific to the system
Innovation skills (1)	• identifying innovative approaches to learning activities

Products that could be used as evidence include:

- learning plans for system users
- records of issues and problems arising and documentation about solutions
- information on achievement of performance measures

Processes that could be used as evidence include:

- how learning needs were identified and addressed
- how accuracy and relevance of system content was managed

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- how outputs from system were managed to ensure system effectiveness
- how system use was monitored

Resource implications for assessment include:

- access to system
- access to system users' feedback

Validity and sufficiency of evidence requires:

- that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment
- evidence of:
  - learning activities being conducted and leading to improved use of system
  - the management of a knowledge management system for an organisation over a period of time or a simulated situation

Integrated competency assessment means:

- that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant units in areas of strategic management, project management, record keeping, business management, frontline management, other training packages (e.g. Museum and Library/Information Services), and human resource management

BSBMGT510A Determine needs of customer populations

Unit Descriptor

This unit specifies the outcomes required to gather, analyse and interpret data to plan and evaluate customer service, and to develop improvements. It focuses on customers as a population/market segment, not as individuals.

Competency Field

Business management services

Domain

Strategic management

Application of the Competency

This unit is appropriate for a worker who has a strategic input to customer service planning. They would be required to have the ability to gather and analyse data and/or interpret data analysed by others, and to integrate broader areas such as ethics, industry practice and policies and legislative requirements into the planning process.

Note that this unit is not about delivering service directly to the customer, but rather gathering data and developing systems and procedures for delivering customer service to populations of customers in general.

The customer service units are based on the GCS01 Customer Service Generic Guideline Competencies, one of the sets of guideline competencies developed by ANTA.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Analyse needs of customer populations	1.1 *Up-to-date information* on *customer populations* is sourced through both formal and informal channels
	1.2 Information on issues related to the business environment that affect customers is collected and utilised in assessment
	1.3 Information is analysed and interpreted to identify and assess customer needs, expectations and satisfaction levels
2. Plan and develop customer service	2.1 Competitive comparisons are analysed and evaluated as input into the planning process
	2.2 Customer service provisions are established through detailed and structured market research and analysis
	2.3 Specific aspects of products and services and their delivery are modified as needed to meet changing customer service requirements

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	2.4 Changes to products and customer service are within organisational ability (policies and budgetary framework) as well as legislative and procedural requirements
	2.5 Plans are developed to meet customer needs and to deliver improved customer service
3. Evaluate customer service relationship	3.1 Information that measures customers' level of satisfaction with products and services is obtained
4. Initiate customer service improvement	4.1 Appropriate initiatives within level of responsibility are implemented or actioned
	4.2 Suitable recommendations to appropriate personnel for improvements are developed and communicated
	4.3 Procedures and documentation are put in place to ensure staff have access to additional specialist information and assistance when assessing customer needs
	4.4 Reports and feedback in accordance with company requirements are provided and communicated

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. Some specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace may include:	• award and enterprise agreements and relevant industrial instruments • 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, anti-discrimination, privacy and consumer law • relevant industry codes of practice
Up-to-date information may include:	• customer satisfaction surveys • information from the Australian Bureau of Statistics • raw data collected at operational/tactical levels by the organisation • information sourced by industry groups/peak bodies
Customer populations may be:	• geographically based groups • product specific customers • populations characterised by age, gender, purchasing power etc.

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Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

Competence must be demonstrated in the ability to identify the need(s) required by the customer populations and to:

- develop systems and procedures to deliver products and services to standard and in an appropriate timeframe, or
- modify existing systems and procedures to take into account changes in the customer population.

Specific Evidence Requirements

Required knowledge and understanding include:

- relevant legislation, regulations, standards and codes from all levels of government that affect business operation and customer relations, especially in regard to:
  - occupational health and safety and environmental issues
  - equal opportunity, anti-discrimination and diversity
  - industrial relations and consumer relations
  - privacy
- relevant organisational procedures and standards for customer service relationships
- an understanding and application of:
  - the importance of customer service
  - the importance of good communication
  - the individual's role in delivering customer service
  - the significance of statistical data on customer populations
- a level of numeracy to allow for the analysis of data, or at the very least, the understanding of the data if it has been analysed by another person

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Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- language, literacy and numeracy requirements:
  - language skills which allow for adequate communication with all relevant groups
  - literacy skills to the level required to read and write procedures and reports
  - numeracy skills to the level required to interpret statistical information
- ability to apply the organisation's customer service goals as well as the principles of customer service as they apply to that industry

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (3)	• sourcing and analysing specialised information on customer populations • driving successful customer service throughout the organisation • identifying customer service relationship requirements
Collecting, analysing and organising information (3)	• identifying needs and expectations of the customer population
Planning and organising activities (3)	• gathering and interpreting data • developing systems, policies and procedures
Working in a team (1)	• working with team members to source and interpret information on customer relationships
Using mathematical ideas and techniques (2)	• interpreting data and developing customer profiles
Solving problems (3)	• ensuring customer needs and expectations are identified and delivered
Using technology (1)	• sourcing, analysing and interpreting data

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Innovation skills (3)	• identifying and forecasting needs of customer population • developing opportunities to provide improved customer service relationships
Products that could be used as evidence include:	• analysis and reports of customer population data • information/issues on the business environment that affect/s customers • data on competition and analysis • information obtained on customer satisfaction levels • recommendations made to management for changes or improvements
Processes that could be used as evidence include:	• how information on customer populations was sourced, both formally and informally • how information was analysed and interpreted to assess customer needs • how competition was analysed and evaluated • how modifications to products and services were determined and implemented • how information on customer satisfaction levels was obtained
Resource implications for assessment include:	• where questions, case studies/scenarios form part of the assessment, a bank of relevant material will be required • access to workplace documents including reports systems and procedures manuals • access to opportunities to observe the individual in the workplace or in small group discussions and presentations
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • at least two examples of candidate applying significant skills and knowledge to gather, analyse and interpret data to plan and evaluate customer service, and to develop improvements.

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Integrated competency assessment means:

- that, where practical, this unit should be assessed in an integrated fashion with other appropriate units
- that this unit is essentially skills-based and it is expected that assessment will be largely practical (that is, workplace-based or by simulation) in nature, supported by questioning to assess product knowledge or, alternatively, project type assessment my be valid
- that practical assessment will frequently be in the workplace or a suitable similar environment. Access to such an environment will be required. Questioning may occur in the work environment, or another suitable room such as an office, classroom or lunchroom

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BSBMGT511A Develop a business opportunity

Unit Descriptor

This unit specifies the outcomes required to identify, develop and assess a new business or activity opportunity for the organisation, prior to writing a detailed business plan.

Competency Field

Business management services

Domain

Strategic management

Application of the Competency

Entrepreneurial ability might be used to develop business or activity ideas to start a new venture, or create products and services for an existing organisation. The person might be (or intend to be) self-employed, or work for a business of any size, where they will develop opportunities as part of a broader role within the enterprise.

This unit cover does not cover planning or financing the new venture, or managing the growing business. Units covering these and other related competencies are listed at the end of this unit.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Identify a business opportunity	1.1 *Personal entrepreneurial attitudes and behaviours* are assessed
	1.2 Personal and business objectives of developing opportunities are identified
	1.3 Relevant market, client, product and service information is located and reviewed
	1.4 Sources and stimuli for fresh *business opportunity ideas* are identified, explored and absorbed
	1.5 *Thinking techniques* are used to generate business opportunity ideas
	1.6 Input is obtained from others to improve initial ideas
2. Develop a business concept	2.1 A range of business opportunity ideas is reviewed and prioritised to develop business concepts
	2.2 *Basic business planning estimates* are calculated for new business concepts
	2.3 Relevant *legal and non-legal requirements* are identified and reviewed
	2.4 *Criteria for determining the feasibility* of new business ideas are determined and documented

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	2.5 Preliminary assessment of feasibility of business concepts is undertaken and *specialist advice* sought as required
	2.6 *Risks* of business concepts are identified
	2.7 From multiple ideas, *choice* is made of most feasible ideas to be further developed into business plans
	2.8 Basic documentation is prepared to communicate business concepts to others
3. Work with others to advance the business concept	3.1 Requirements for partners, alliances and advisors to advance business concept are determined
	3.2 Potential partners, alliances and advisors are identified and assessed
	3.3 Legal advice is sought to protect interest throughout negotiations, where appropriate
	3.4 Negotiations are conducted to advance the concept
	3.5 Partnership, alliance and advisory arrangements are negotiated, if appropriate
	3.6 Partnership, alliance and advisory arrangements are confirmed using legal processes, if appropriate

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace which may include:	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Personal entrepreneurial attitudes and behaviours may include:	• flexibility • interest in pursuing new ideas • desire to take risks • belief in ability to act on intuition, guesses and assumptions • confidence in self and vision • attitudes toward ambiguity and uncertainty • curiosity • ability to think laterally

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Business opportunity ideas may include:	• ideas to create profits or assets • ideas for the general development or advancement of an organisation and its programs, services and products which are not 'business' activity in the commercial sense, but may be non-commercial or non-profit
Thinking techniques may include:	• brainstorming • discussions • lateral thinking • de Bono's Six Thinking Hats® method
Basic business planning estimates may be calculated for:	• work methods • locations • initiatives and types of activities • human resources • budgets and other resources • timelines
Legal and non-legal requirements may include:	• requirements deriving from organisation's policies and procedures • access and equity requirements • codes of practice • contractual obligations • industrial relations agreements • insurance requirements • laws and regulations • accreditation/licence/patent/copyright requirements • maintenance/service/operating requirements • manufacturers' requirements • occupational health and safety (OHS) requirements • professional development requirements • standards • warranty requirements
Criteria for determining feasibility may include:	• ability to meet legal and non-legal requirements • ability to meet personal and business objectives • commercial viability
Specialist advice may include:	• accounting, legal and OHS advice • advice from government agencies, industry or trade associations, business brokers and consultants • mentoring support

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Risks may include those related to:	• regulations, legislation and codes of practice • safety • public reputation and consumer interest • sustainability • environmental factors • financial risk
Choice may be made:	• by owner/operator of small business • by key family members of family business • by managers or supervisors

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that they have identified, developed and assessed the initial feasibility of at least one new business or activity idea. Evidence should be documentary and show that consultation occurred.

Evidence will cover the processes used to identify a range of ideas, to select ideas to have initial feasibility assessed, and to consult with prospective partners. It will also cover documentation of the idea and of the feasibility assessment.

Specific Evidence Requirements

Required knowledge and understanding include:	• the characteristics of successful entrepreneurs: – general characteristics and traits – biographies and case studies of particular individuals, preferably in own or related industries • relevant legal, OHS and non-legal requirements • basic methods of business planning • personal characteristics of successful entrepreneurs
Required skills and attributes include:	• ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities • thinking techniques • research and analytical skills to: conduct basic research conduct an initial feasibility assessment prepare basic business planning estimates

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- negotiation skills for exploring partnerships
- verbal and written communication skills involved to:
  - document ideas, business planning estimates and feasibility assessment
  - negotiate with potential partners

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (2)	• documenting feasibility study and business planning estimates • negotiating potential partnership, alliance or advisory arrangements
Collecting, analysing and organising information (2)	• researching feasibility of new business opportunities • making business planning estimates • determining legal, OHS and non-legal requirements
Planning and organising activities (2)	• preparing basic business plans
Working in a team (1)	• negotiating partnership, alliance or advisory arrangements • working with employees and family (if a family business)
Using mathematical ideas and techniques (2)	• calculating business planning estimates
Solving problems (3)	• assessing risk and planning for contingencies • solving problems as they arise in negotiations
Using technology (1)	• using computers to manage information • using assistive technologies, where appropriate
Innovation skills (3)	• identifying and developing fresh business opportunity ideas

Products that could be used as evidence include:

- relevant market, client, product and service information
- documentation of a range of ideas
- basic business planning estimates
- documentation of business concepts

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Processes that could be used as evidence include:	• how new business ideas were generated and evaluated for further analysis • how feasibility assessment was undertaken • how business planning estimates were developed • how partnership, alliance and advisory negotiations were conducted
Resource implications for assessment include:	• assessment will likely take place in actual business premises to provide access to relevant records and documentation • time required for assessment
Validity and sufficiency of evidence requires:	• that assessment will be based on actual performance and the development of a new business opportunity • that, where candidate is participating in a learning experience, assessment may be over a period of time to allow for the business opportunity to be documented • that at least two case studies of successful implementation of fresh business ideas in relevant areas of business are provided by the candidate • that, given the nature of the unit of competency and the required outcomes, assessment may be based on one example of a business opportunity being documented
Integrated competency assessment means:	• that this unit can be assessed alone or as part of an integrated assessment involving other relevant units

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BSBMGT512A Manage relationships in a family business

Unit Descriptor

This unit specifies the outcomes required to develop and implement systems to manage family and non-family relationships specific to a family business.

Competency Field

Business management services

Domain

Strategic management

Application of the Competency

While a family business is in some ways like any other business, tensions and conflicts can arise among family members and carry over into business in ways that do not occur in non-family businesses. This raises issues of family and employee expectations, performance management, conflict of interest and conflict management within the business.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Develop and implement systems to manage family relationships issues	1.1 Potential *family relationships issues* are identified and analysed 1.2 Clear *roles, responsibilities and accountability guidelines* for all family members are developed and documented to address identified relationship issues 1.3 Roles, responsibilities and accountability guidelines are negotiated with relevant family members and agreement obtained 1.4 Mechanisms for *review and evaluation* of roles, responsibilities and accountability guidelines are developed, negotiated and agreed 1.5 *Implementation* of agreed roles, responsibilities and accountability guidelines is carried out
2. Develop and implement systems to manage performance	2.1 Potential performance issues are identified from the analysis of family relationship issues, and analysed 2.2 *Measures and systems for performance* for *all workers* are developed, negotiated and agreed 2.3 Mechanisms to review and evaluate measures and systems for performance are developed, negotiated and agreed

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3. Develop and implement systems to manage conflict	3.1 Potential conflict issues are identified and analysed 3.2 *Conflict resolution procedures* are developed, negotiated and agreed 3.3 Mechanisms to provide early notification of grievances, conflicts or disputes are developed and implemented 3.4 Conflict resolution procedures are implemented to manage conflict 3.5 Mechanisms to review and evaluate conflict resolution procedures are developed, negotiated and agreed 3.6 Specialist advice is sought where appropriate
4. Develop and implement methods of communication to enhance relationships	4.1 Potential communication issues are identified 4.2 *Methods of communication* within and outside the business are identified and evaluated 4.3 Methods of communication are implemented and maintained 4.4 Mechanisms to review and evaluate methods of communication are developed, negotiated and agreed

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Family relationships issues may include:	• family rivalries • rights and responsibilities of working and non-working family members • rights and responsibilities of family and non-family workers • separation of business and family issues • individuals' roles within the family business • leadership and recognition issues • intrafamily and intergenerational issues

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	• the role of in-laws and other relatives • divorce and separation issues
Roles, responsibilities and accountability guidelines may include:	• job descriptions • codes of conduct • family charters • customer/client charters • organisational trees
Review and evaluation may include:	• review of compliance with guidelines and agreements • performance assessment
Implementation may include:	• development of job a statement for each role within the business • recognition of current competence to undertake roles • skills gap analysis and arrangements for further learning, including development of legal and occupational health and safety (OHS) skills • staff development about roles, responsibilities and accountability
Measures and systems for performance may include:	• performance objectives • key performance indicators • performance standards (including codes of conduct) • remuneration guidelines • qualitative and/or quantitative mechanisms to measure individual performance • OHS performance
All workers covers:	• full-time, part-time and casual family members as employees, volunteers and formal and informal advisors • full-time, part-time and casual non-family employees
Conflict resolution procedures may include:	• informal processes for resolving conflict • dispute resolution procedures • specified access to legal remedies • procedures that include the involvement of industrial relations, OHS and other intermediaries
Methods of communication may include:	• regular worker and family meetings • methods to notify, create agendas for, and conduct meetings • rules for access to business information

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- memos
- newsletters

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this standard must be able to provide evidence that they have developed, negotiated and successfully implemented measures to manage family relationships issues, performance and conflict within a family business; and that they have developed and implemented methods of communication to enhance relationships. These measures and methods must be adequately documented. The person must provide evidence (in actual or simulated conditions) that they can effectively develop and implement conflict management procedures.

Specific Evidence Requirements

Required knowledge and understanding include:

- relevant legislation relating to:
  - OHS
  - environmental issues
  - equal opportunity
  - industrial relations
  - anti-discrimination
- principles and techniques associated with:
  - identifying and assessing cultural issues
  - consistent behaviour in work relationships
  - identification and assessment of interpersonal styles
  - problem identification and resolution
  - conflict resolution
  - work performance management
  - recognition of and working with diversity
- current performance measurement practices for organisations

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- ability to consult and engage parties to facilitate ownership of solutions

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- interpersonal skills and the ability to separate issues from personalities
- ability to extract concepts and solutions from industry best practice which can be implemented in or adapted to a family business
- conflict management skills to deal with grievances, disputes or disagreements
- communication and report writing skills
- OHS skills

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (3)	• communicating with family members • developing communication strategies
Collecting, analysing and organising information (3)	• analysing performance management strategies • analysing potential conflict issues • developing guidelines and statements of responsibilities
Planning and organising activities (2)	• planning and organising meetings and negotiations • planning and organising workplace health and safety inspections and audits
Working in a team (3)	• working with family and non-family members • resolving conflict
Using mathematical ideas and techniques (2)	• developing remuneration and performance management strategies • analysing data
Solving problems (3)	• resolving conflict • minimising the impact of disputes and grievances • identifying, assessing and controlling workplace hazards
Using technology (2)	• using computers to manage information and document policies, procedures, guidelines and agreements • using assistive technologies, where appropriate

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Innovation skills (2)	• enhance family relationships • implement strategies to improve workplace performance
Products that could be used as evidence include:	• statements of roles and responsibilities and accountability guidelines for relevant personnel • documentation about policies, procedures, guidelines and agreements • conflict resolution procedures and documentation to provide early notification of conflicts or measures taken to prevent conflicts arising • communications materials produced, or documentation from meetings or workshops • documented review procedures
Processes that could be used as evidence include:	• how agreements were negotiated • how the trust and support of family and non-family members was maintained while developing and implementing procedures
Resource implications for assessment include:	• access to current relevant business policies and procedures
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • at least one example of a fully-developed and implemented system to manage relationships between all family and non-family members; one example of a system to manage performance; one example of a system to resolve conflict; and one example of a range of communications methods to enhance relationships • evidence that each system has been used successfully in the management of at least three individuals or events; and that at least three methods of communication have been successfully used • that assessment is either through a simulated project-based activity or actual activities developed and implemented

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Integrated competency assessment means:

- that this unit can be assessed alone or as part of an integrated assessment activity involving Small Business Management units or other Strategic Management units such as BSBMGT513A Plan for family business succession and BSBMGT514A Plan and manage growth in a family business

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BSBMGT513A Plan for family business succession

Unit Descriptor

This unit specifies the outcomes required to plan for succession within a family business. It covers gathering opinions about succession issues, developing a succession plan, developing career pathways in the family business and planning for estate distribution and transfer.

Competency Field

Business management services

Domain

Strategic management

Application of the Competency

Some tools and systems developed in BSBMGT512A Manage relationships in a family business (such as roles, responsibilities and accountability guidelines) are required in order to undertake this unit.

Although this unit relates to the context of a family business, those in other types of businesses where succession is an issue could gain from the development of competence in this area.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Gather opinions about succession issues	1.1 Potential family business *succession issues* are identified and analysed
	1.2 *Workers* are consulted about succession issues
	1.3 *Specialist advice* is sought as required
	1.4 Open discussion about disputes and grievances affecting succession is facilitated in accordance with conflict resolution procedures
2. Develop a succession plan	2.1 *Contingencies affecting succession* are identified
	2.2 *Options for succession* are identified and evaluated
	2.3 A succession plan is developed, negotiated and agreed with key stakeholders
	2.4 Mechanisms to review and evaluate the succession plan are developed, negotiated and agreed
3. Develop career pathways in the family business	3.1 Roles, responsibilities and accountability guidelines are used to make a *determination of current skill needs*
	3.2 Future skill needs for individuals and the business are estimated
	3.3 Career plans are produced for (and in conjunction with) key workers, to indicate future areas of skill development and future roles

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	3.4 Career plans are linked to current roles and responsibilities and to *measures and systems for performance*
	3.5 Career plans are approved by business owners and managers
4. Plan for estate distribution and transfer	4.1 *Assets* for transfer and distribution are identified
	4.2 Specialist advice and information is sought as required
	4.3 *Contingencies affecting asset distribution and transfer* are identified
	4.4 Options for asset distribution and transfer are identified and evaluated
	4.5 An estate plan is developed, negotiated and agreed with key stakeholders

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Succession issues may include:	• family rivalries • rights and responsibilities of working and non-working family members • rights and responsibilities of family and non-family workers • separation of business and family issues • leadership and recognition issues • intrafamily and intergenerational issues • the role of in-laws and other relatives • divorce and separation issues • role of founder • loyalty to founder • cultural context

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Workers may include:	• full-time, part-time and casual family members as employees, volunteers and formal and informal advisors • full-time, part-time and casual non-family employees • family not working but with an interest in the business
Specialists advice may come from:	• accountants • estate planners and financial planners • lawyers • suppliers • financial backers • persons with appropriate cultural knowledge and authority • mentors, coaches and trusted business advisors
Contingencies affecting succession may include:	• death of relevant family members • illness or accident affecting family members • divorce or separation of family members • decisions by family members to retire or reduce involvement
Options for succession may include:	• short-term actions required at time of succession • reallocation of duties in event of crisis • phased transition arrangements
Determination of current skill needs may include:	• examination of roles, responsibilities and accountabilities to determine skills currently required in the business • examination of skills currently sourced externally (through consultants, advisors and contractors) • a full (and possibly independent) assessment of the of roles and responsibilities of key family members
Measures and systems for performance may include:	• performance objectives • key performance indicators • performance standards (including codes of conduct) • remuneration guidelines • qualitative and/or quantitative mechanisms to measure individual performance
Contingencies affecting asset distribution and transfer may include:	• current and projected profits/losses • liabilities and loans • ownership of stock, equipment and premises

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- past input by family members into the business

Assets may include:

- family-held business shares
- investment real estate and personal home
- equities and bonds
- liquid assets
- retirement savings

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this standard must be able to provide evidence of succession and estate plans developed and documented with agreement from relevant stakeholders in the family business.

This standard can be assessed concurrently with BSBMGT512A Manage relationships in a family business.

Specific Evidence Requirements

Required knowledge and understanding include:

- relevant legislation relating to:
  - occupational health and safety (OHS)
  - equal opportunity
  - industrial relations
  - anti-discrimination
  - estate planning
- principles and techniques associated with:
  - consultation
  - identification/assessment of interpersonal styles
  - problem and conflict identification and resolution
  - work performance management
  - current practice in estate planning
  - skill needs analysis

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- ability to consult and engage parties to facilitate ownership of solutions
- interpersonal skills

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- conflict management skills to deal with grievances, disputes or disagreements
- communication and report writing skills
- ability to extract concepts and solutions from industry best practice which can be implemented in or adapted to a family business

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (3)	• negotiating options and best practice with key stakeholders
Collecting, analysing and organising information (3)	• collecting information from workers, advisors and other sources and organising it into draft plans
Planning and organising activities (3)	• developing draft plans
Working in a team (3)	• working as a team with key family members • resolving conflict • working as a team to consult, identify and resolve OHS issues
Using mathematical ideas and techniques (1)	• doing calculations about assets and entitlements
Solving problems (2)	• dealing with issues as they arise in consultations and negotiations
Using technology (1)	• using basic hardware and software
Innovation skills (1)	• developing innovative options for estate planning and succession issues

Products that could be used as evidence include:

- succession and estate plans
- testimonials from workers about the efficacy of the processes used

Processes that could be used as evidence include:

- how workers were engaged in negotiations
- how plans were developed
- how specialist advice was engaged and used

	• how current skill needs were determined and future needs estimated
Resource implications for assessment include:	• statements of roles, responsibilities and accountability guidelines • business planning documentation • current financial information
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • at least one fully-detailed succession plan; at least one statement of skill need for the business; career path documentation for key personnel; and at least one plan for estate distribution and transfer • that assessment is either through simulated project-based activity or actual activities developed and implemented
Integrated competency assessment means:	• that this unit can be assessed alone or as part of an integrated assessment activity involving Small Business Management units or other Strategic Management units such as BSBMGT512A Manage relationships in a family business and BSBMGT514A Plan and manage growth in a family business

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BSBMGT514A Plan and manage growth in a family business

Unit Descriptor

This unit specifies the outcomes required to identify growth opportunities and develop a related business plan for a family business.

Competency Field

Business management services

Domain

Strategic management

Application of the Competency

The unit is suitable for a family business but could also apply to some small businesses.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Identify opportunities for growth	1.1 Business growth opportunities are identified and selected for further development 1.2 *Specialist advice* is sought as required to inform business planning 1.3 *Basic business planning estimates* are made for selected opportunities 1.4 Identified opportunities are initially assessed for *feasibility* 1.5 *Choice* is made of the most feasible ideas to be further developed into a business plan
2. Develop a business plan for growth opportunities	2.1 *External specialist personnel* are identified and involved in plan development as required 2.2 *Financial plan* is developed to implement business plan 2.3 *Human resource plan* is developed to implement business plan 2.4 *Marketing plan* is developed to implement business plan 2.5 *Risk management plan* and *monitoring and evaluation plan* are developed to implement other plans

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

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Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Specialist advice may be sought from:	• accountants • lawyers and providers of legal advice • government agencies • industry or trade associations • business brokers and business consultants • persons with appropriate cultural knowledge and authority • business mentors and/or personnel from a Registered Training Organisation
Basic business planning estimates may be made for:	• customer needs • work activities • human resources • budgets • other resources • legal requirements • timelines
Feasibility assessment can take into account:	• ability to meet legal and non-legal requirements • ability to meet business and personal objectives • available business resources • commercial viability • risks
Choice may be made:	• by owner/operator of a small business • by key family members of a family business • by managers or supervisors
External specialist personnel may include:	• accountants • business consultants • financial planners and consultants • industrial relations consultants • lawyers • occupational health and safety (OHS) consultants • trainers and assessors

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Financial plan may include:	• sales and revenue projections • expenditure projections • profit and loss projections • cash flow projections • asset and liability projections • capacity to finance opportunities • likely return on investment • pricing strategies and margins
Human resource plan may include:	• calculation of the number and type of positions required to achieve identified growth opportunities • development of position descriptions • training needs analysis
Marketing plan may include:	• approaches to marketing identified growth opportunities including aims, budget and appropriate methods of marketing goods and services
Risk management plan may include consideration of:	• security systems to provide physical security of premises, plant, equipment and goods/services • market competition • security of intellectual property • legislative requirements • engineering controls • breach of contract, product liability • measures to manage risk including securing appropriate insurance to cover loss of earnings through sickness and accidents • stock, expenditure, costs, wastage and shrinkage controls • OHS risks
Monitoring and evaluation plan may include:	• performance measures • quality assurance measures • procedures to identify, investigate and analyse problems in plan implementation • procedures to update plans

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Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this standard must be able to provide evidence that they have identified and assessed the initial feasibility of opportunities for business growth, and developed finance, human resources, marketing, risk management and monitoring and evaluation plans to capitalise on at least one growth opportunity.

Specific Evidence Requirements

Required knowledge and understanding include:

- relevant legislation affecting business operations, especially in regard to OHS, environmental issues, equal opportunity, industrial relations, anti-discrimination and privacy
- planning processes and types of business planning
- preparation of business plans
- setting goals and objectives
- methods of review and evaluation
- principles of risk management relevant to business planning
- relevant industry codes of practice
- identification and assessment of cultural issues

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- interpretation of business documents
- communication skills relevant to business performance including report writing skills
- data analysis
- interpersonal skills

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Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (3)	• communicating with family and non-family members • gaining support for the business plan
Collecting, analysing and organising information (3)	• gathering information for a business plan • analysing risks
Planning and organising activities (2)	• developing business plan • developing operational plan
Working in a team (3)	• developing clear performance measures • resolving issues
Using mathematical ideas and techniques (2)	• developing a financial plan • analysing data
Solving problems (3)	• generating growth in the business
Using technology (2)	• using computers to manage information and prepare documents
Innovation skills (2)	• enhancing business • implementing strategies to improve workplace performance

Products that could be used as evidence include:

- completed plans for finance, human resources, marketing, risk management and monitoring and evaluation

Processes that could be used as evidence include:

- how business growth opportunities were identified
- how plans were developed
- how agreement was gained for implementing business plan

Resource implications for assessment include:

- relevant workplace documentation
- access to family and non-family members of the business

Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • at least one example of fully-detailed plans for finance, human resources, marketing, risk management and monitoring and evaluation
Integrated competency assessment means:	• that this unit can be assessed alone or as part of an integrated assessment activity involving Small Business Management units or other Strategic Management units such as BSBMGT512A Manage relationships in a family business and BSBMGT513A Plan for family business succession

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BSBMGT601A Contribute to strategic direction

Unit Descriptor

This unit covers the manager's involvement in the establishment of the strategic direction of the organisation, to both sustain *competitive advantage* and enhance global competitiveness. It requires analysis and interpretation of relevant markets, capability assessment of the organisation and its existing and potential competitors and allies.

Consider co-assessment with BSBMGT602A Contribute to the development and implementation of strategic plans.

Competency Field

Business Management Services

Element	Performance Criteria
1. Contribute to the creation and/or review of the organisational mission statement	1.1 Effective relationships are developed with *stakeholders* through consultation 1.2 Organisational direction and values are developed and agreed upon 1.3 Support is gained for strategic direction from all relevant *stakeholders*
2. Analyse the external environment	2.1 Information requirements are determined and *research* undertaken or commissioned to deliver relevant information 2.2 *Research* provides appropriate information to assist in the prediction of social, political, economic and technological developments in a *global context* 2.3 *Advice* sought from appropriate experts wherever necessary 2.4 Emerging and predicted trends are analysed for business opportunities 2.5 Business opportunities and obstacles are documented and analysed 2.6 The analyses are based on valid, reliable information and the methodology is cost effective 2.7 Future activities and potential interests for the organisation and other relevant groups, are identified 2.8 Steps to influence, modify and adapt to the external environment are identified
3. Undertake competitive analysis	3.1 Existing and potential competitors and allies are identified 3.2 Strengths and weaknesses of existing and potential competitors and allies are documented 3.3 Potential for joint ventures and/or strategic alliances is explored

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Element	Performance Criteria
	3.4 Analytical methods are cost effective
	3.5 Cases for co-operative ventures are supported by risk and cost/benefit analyses, are consistent with organisation mission and values, and provide for appropriate *due diligence*
	3.6 Evaluation of competitive environment takes account of current trends and developments
4. Analyse and review organisation's capabilities	4.1 Opportunities are provided for input to the analysis from people throughout the organisation
	4.2 Organisation's existing resources (tangible and intangible) are evaluated thoroughly
	4.3 Capabilities are identified and documented and ranked in terms of sustainable competitive advantage
	4.4 *Value chain analysis* is completed across the organisation and competitive advantages and disadvantages are identified
	4.5 *Core competencies* are identified and evaluated in terms of sustainable competitive advantage and global opportunities
	4.6 The mission, vision and purpose are consistent with the organisation's stated values, and are realistic but challenging

Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Legislation, codes and national standards relevant to the workplace which may include:

- award and enterprise agreements and relevant industrial instruments
- 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 industry codes of practice

Competitive advantage means:

- the combination of factors within an organisation which gives it an edge over its competitors

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Range Statement

Stakeholders may include:

- customers
- employees
- government agencies
- owners

Research may include:

- commissioned research
- internal research
- demographic
- social
- political
- economic
- technological
- product
- market segmentation

Global context means:

- an examination on a world-wide basis, of factors which may impact on the long-term strategic direction of the business

Due diligence means:

- the process by which an investor, lawyer, consistent auditor, or other qualified person, verifies the accuracy of data provided by another organisation

Value chain analysis means:

- an analysis of a series of primary activities:
  - inbound logistics
  - operations
  - outbound logistics
  - marketing and sales
  - service support
- and their support activities:
  - firm infrastructure
  - human resource management
  - technological development
  - procurement

Core competencies means:

- the resources and capabilities that serve as a source of competitive advantage over a firm's rivals

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Evidence Guide

The Evidence Guide identifies the critical aspects, knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- Evidence needs to be provided of detailed, thorough and appropriate analyses in respect to the organisation's own capabilities, those of their existing potential competitors and allies, and the external environment
- Evidence of the development/restatement of organisations strategic direction based on these analysis to develop/restate their strategic direction in a clear and unequivocal manner, needs to be carefully assessed

OHS Considerations may include:

- inclusion of OHS policy in mission statement
- review of external OHS requirements, including potential for OHS management systems and approaches related to worker's compensation premiums
- use of participative arrangements in OHS strategy

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of specialised knowledge with depth in some areas.

- 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
- Strategic planning methodologies
- Data collection methods
- Inventory management systems including material resource planning systems
- Value chain concepts
- Purpose, mission and values of the organisation
- External environment scanning relating to social, political, economic and technological developments
- Core competency concepts
- Concept of sustainable competitive advantage
- Consultative processes and methods
- Organisational change processes
- Organisational design processes
- Legislation, codes and by-laws relevant to the organisation's operations

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Evidence Guide

Underpinning Skills

- Research skills to ensure accurate, up-to-date information is available for the environmental analysis
- Analytical skills to undertake value chain analysis and identify under-performance/areas for improvement
- Evaluative skills to maintain performance and assess the use of alternative suppliers/contractors
- Ability to collate and interpret statistical data including trend analysis
- Value chain analysis to assess the value-creating potential of a firm's primary activities and support activities which are superior and/or unique to its competitors
- Risk management skills to plan and undertake appropriate due diligence
- Cost benefit analysis skills to evaluate co-operative ventures and alliances
- Strategic thinking skills to develop and evaluate responses to competitors and allies actions in the market
- Ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities

Resource Implications

The learner and trainer should have access to appropriate documentation and resources normally used in the workplace

Consistency of Performance

In order to achieve consistency of performance, evidence should be collected over a set period of time which is sufficient to include dealings with an appropriate range and variety of situations

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Evidence Guide

Context/s of Assessment

- Competency is demonstrated by performance of all stated criteria, including paying particular attention to the critical aspects and the knowledge and skills elaborated in the Evidence Guide, and within the scope as defined by the Range Statement
- Assessment must take account of the endorsed assessment guidelines in the Business Services Training Package
- Assessment of performance requirements in this unit should be undertaken in an actual workplace or simulated environment
- Assessment should reinforce the integration of the key competencies and the business services common competencies for the particular AQF level. Refer to the Key Competency Levels at the end of this unit

Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 3	Level 3	Level 3	Level 3	Level 2	Level 3	Level 2

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information –** to conduct environmental analysis
- **Communicating ideas and information –** to inform about the organisation's strategic direction
- **Planning and organising activities –** to undertake competitive analysis
- **Working with teams and others –** to conduct the analyses and documentation of the analyses
- **Using mathematical ideas and techniques –** to analyse the performance of competitors and their own organisation
- **Solving problems –** to manage threats from the external environment and competitors
- **Using technology –** to undertake research and conduct analyses

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSBMGT602A Contribute to the development and implementation of strategic plans

Unit Descriptor

This unit covers the second stage of the strategic planning process. It involves confirmation of strategic direction, the development of detailed objectives and strategies, and the creation of measures and criteria to evaluate progress towards those objectives.

Consider co-assessment with BSBMGT601A Contribute to strategic direction.

Competency Field

Business Management Services

Element	Performance Criteria
1. Confirm organisational mission, vision and purpose	1.1 *Stakeholders* are consulted in an open and realistic way to engender support for the process
	1.2 Expectations and requirements of the board/owners are being met
	1.3 The mission, vision and purpose are consistent with the organisation's stated values, and are realistic but challenging
2. Formulate strategic objectives and strategies	2.1 Objectives are consistent with the environmental trend analyses, and forecasts have been developed
	2.2 Objectives state clearly and in measurable terms, what the organisation needs to achieve
	2.3 *Strategies* are developed in the context of meeting chosen product differentiation and cost structure objectives
	2.4 *Value adding activities* are introduced, consistent with the *value chain analysis* and the strategic direction
	2.5 Strategies take account of competitive advantages and disadvantages identified
	2.6 Opportunities for *strategic alliances* and *co-operative ventures* are incorporated into the strategies
	2.7 *Benchmarking* of all key operational and support activities is undertaken
	2.8 Opportunities for the purchase of *value adding activities* externally have been thoroughly evaluated
3. Evaluate and improve strategic performance	3.1 *Processes for the evaluation* of strategic performance are supported by key stakeholders and approved by the board/owners
	3.2 *Key Performance Indicators* and other criteria for measurement of achievement are developed in advance of implementation

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Element	Performance Criteria
	3.3 Performance measures address all key aspects of organisational performance, to meet the interests of *stakeholders*
	3.4 Performance data is analysed on a regular and planned basis, in terms of the indicators, performance standards and other criteria developed
	3.5 Successes and performance gaps are clearly identified and analysed as to cause and effect
	3.6 Strategic performance is reported to all stakeholders in a transparent manner and meeting all *compliance requirements*
	3.7 Objectives and strategies are reviewed, evaluated and revised where necessary
	3.8 The organisation's mission, vision and purpose are reviewed and revised where necessary

Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Legislation, codes and national standards relevant to the workplace which may include:	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Stakeholders may include:	• customers • employees • government agencies • owners
Strategies means:	• long term plans which will guide the organisation in achieving its mission

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Range Statement

Value chain analysis means:

- an analysis of a series of primary activities:
  - inbound logistics
  - operations
  - outbound logistics
  - marketing and sales
  - service support
  - and their support activities:
  - firm infrastructure
  - human resource management
  - technological development
  - procurement

Value adding activities may include:

- outsourcing
- external supply
- contracting out

Strategic alliances/co-operative ventures means:

- any form of partnership, consortium, joint venture entered into to help better achieve strategic objectives

Benchmarking means:

- a process by which an organisation assesses its current best practices by comparing them with the best practices of other organisations

Processes for evaluation may include:

- key performance indicators
- gap analysis
- variance analysis
- conformance reports
- customer feedback
- balanced score card measures

Key Performance Indicators means:

- a series of measurements/targets for each of the key result areas of the organisation

Compliance requirements may include:

- acts/legislation
- regulations
- codes of conduct
- audit requirements
- internal policy requirements

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Evidence Guide

The Evidence Guide identifies the critical aspects, knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- There needs to be a demonstrated capacity to successfully consult and engage relevant stakeholders to support the strategic planning processes
- The link between the Performance Indicators, the strategies developed and the organisation's objectives, must be apparent
- Performance data needs to be accumulated, analysed and reported upon with recommendations for on-going improvement

OHS considerations may include:

- plans are consistent with OHS policy and objectives
- objectives and plans incorporate continuous improvement
- participative arrangements are used for evaluation of OHS performance
- OHS records are included in evaluation and development of performance indicators

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of specialised knowledge with depth in some areas.

- 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
- Outsourcing/in-sourcing
- Value-adding concepts
- Performance measurement techniques
- Strategic planning methodologies
- Data collection methods
- Inventory management systems including material resource planning systems
- Value chain concepts
- Purpose, mission and values of the organisation
- External environment scanning relating to social, political, economic and technological developments
- Core competency concepts
- Concept of sustainable competitive advantage
- Consultative processes and methods
- Organisational change processes
- Organisational design processes
- Legislation, codes and by-laws relevant to the organisation's operations

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Evidence Guide

- Risk management
- Benchmarking concepts and processes

Underpinning Skills

- Communication skills to write and disseminate clear and measurable objectives and report outcomes to relevant groups and individuals
- Analytical skills to undertake value chain analysis and identify under-performance/areas for improvement
- Consultation skills to ensure all relevant groups and individuals understand and support the plans
- Evaluative skills to maintain performance and assess the use of alternative suppliers/contractors
- Strategic thinking skills to assess competitive advantage/disadvantage, and to identify and assess potential alliances and effective strategies
- Project management skills to undertake benchmarking activities
- Performance measurement skills to develop and manage key performance indicators
- Ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities

Resource Implications

The learner and trainer should have access to appropriate documentation and resources normally used in the workplace

Consistency of Performance

In order to achieve consistency of performance, evidence should be collected over a set period of time which is sufficient to include dealings with an appropriate range and variety of situations

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Evidence Guide

Context/s of Assessment

- Competency is demonstrated by performance of all stated criteria, including paying particular attention to the critical aspects and the knowledge and skills elaborated in the Evidence Guide, and within the scope as defined by the Range Statement
- Assessment must take account of the endorsed assessment guidelines in the Business Services Training Package
- Assessment of performance requirements in this unit should be undertaken in an actual workplace or simulated environment
- Assessment should reinforce the integration of the key competencies and the business services common competencies for the particular AQF level. Refer to the Key Competency Levels at the end of this unit

Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 3	Level 3	Level 3	Level 3	Level 2	Level 3	Level 2

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information –** to develop strategic plans
- **Communicating ideas and information –** to explain and educate stakeholders about the strategic plans
- **Planning and organising activities –** to evaluate opportunities
- **Working with teams and others –** to evaluate the success of the organisation in meeting its strategic objectives
- **Using mathematical ideas and techniques –** to analyse and report performance data
- **Solving problems –** to rectify/remediate performance gaps which are identified
- **Using technology –** to conduct value chain analysis

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSBMGT603A Review and develop business plans

Unit Descriptor

This unit covers those areas of business planning and system review undertaken by an operational manager and incorporates the development of various tactical and operational plans incorporating risk management plans.

Consider co-assessment with BSBMGT604A Manage business operations.

Competency Field

Business Management Services

Element	Performance Criteria
1. Develop tactical and operational plans	1.1 Pre-existing *tactical and operational plans* have been reviewed and evaluated
	1.2 Strategic objectives are analysed, interpreted and relevant operational objectives are developed
	1.3 *Project management protocols* for the organisation are developed
	1.4 Consultation with appropriate groups and individuals is built into plans
	1.5 Requirements of internal/external customers are identified through consultation and documented
	1.6 Plans include methods for measuring customer satisfaction and obtaining feedback
	1.7 Operational performance objectives, measures and criteria are developed through consultation with relevant groups and individuals
	1.8 Tactical and operational plans identify financial, human and physical resource requirements
	1.9 Scheduling of activities meets customer/marketing requirements
	1.10 Plans contain clear profitability, productivity and performance targets for key result areas (e.g. OHS, environment, quality, customer service)
	1.11 Plans are concise, logical and comply with organisation requirements
	1.12 Plans address all relevant operational issues, including internal/external environmental factors
	1.13 *Tactical and operational plans* have been subject to risk assessment and analyses, and include *risk management plans*
2. Review business systems	2.1 Reviews are undertaken regularly of the implementation of tactical and operational plans

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Element	Performance Criteria
	2.2 Information/reports are available to compare plans, budgets and forecasts to actual performance
	2.3 *Systems* are reviewed in consultation with users and people responsible for implementing the business plans
	2.4 *Systems* provide for identification of system variance or failure, to allow early intervention and prompt remediation
	2.5 *Systems* monitor resource usage in a timely manner
	2.6 *Systems* allow for flexible responses to changing and emerging situations
	2.7 *Systems* are in place to provide feedback to relevant groups and individuals on their performance
	2.8 *Systems* provide for immediate response to incidents involving potential risk to people, product or the environment
	2.9 *Systems* are designed to achieve the organisation's energy saving targets

Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Legislation, codes and national standards relevant to the workplace which may include:	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Tactical and operational plans means:	• plans to fine-tune a strategy. It involves less organisational resources and is usually relatively easy to implement or reverse. They include the plans for specific tactical responses to the marketplace and the day-to-day plans associated with the production and delivery of a product or service
Project management protocols means:	• the rules of behaviour relating to the development, planning, approval, implementation, management and evaluation of projects

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Range Statement

Risk management means:

- the process of identification of potential negative events and the development of plans to mitigate or minimise the likelihood of the negative event occurring and/or the consequences in the event it does occur

Systems means:

- a detailed description/depiction of how organisations relate to their environments and how they process information through strategic and tactical management to develop actual operating procedures

Electronic commerce refers to:

- business-to-business, business-to-consumer, government to business activities conducted via electronic communication methodologies and networks
- cost centre/department – to cost centre/department

Evidence Guide

The Evidence Guide identifies the critical aspects, knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- Assessment for this unit will need to occur over a sufficient period of time to allow an holistic assessment of the tactical and operational planning activities
- Plans developed must meet the organisation's criteria as well as those set down in the unit
- Systems review and revision is a crucial aspect of the business planning process and needs to be clearly evidenced

OHS considerations may include:

- review and evaluation of previous OHS plans and programs
- implementation of OHS systems for projects
- use of participative arrangements for review of OHS in operational performance
- development and review of OHS performance targets
- framework and components of OHS management system, its structures and performance
- systemic review procedures

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Evidence Guide

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of specialised knowledge with depth in some areas.

- 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
- Strategic planning
- All legislation relevant to the organisation's operation
- Critical path/PERT methodology
- Relevant industrial awards and agreements
- Electronic commerce systems
- Consultative methods and processes
- Performance measurement and benchmarking methodology
- Operations management
- High reliability organisational concepts
- Energy management
- Capital investment evaluative methodology including NPV and ROI

Underpinning Skills

- Analytical skills to interpret strategic objectives and develop tactical and operational objectives
- Communication/consultation skills to ensure all relevant groups and individuals are advised of what is occurring and are provided with an opportunity for input
- Risk management skills to analyse, identify and develop mitigation strategies for identified risks
- Systems analysis and design skills to ensure that system outputs meet tactical/operational objectives and measure performance in a timely way
- Ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities

Resource Implications

The learner and trainer should have access to appropriate documentation and resources normally used in the workplace

Consistency of Performance

In order to achieve consistency of performance, evidence should be collected over a set period of time which is sufficient to include dealings with an appropriate range and variety of situations

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Evidence Guide

Context/s of Assessment

- Competency is demonstrated by performance of all stated criteria, including paying particular attention to the critical aspects and the knowledge and skills elaborated in the Evidence Guide, and within the scope as defined by the Range Statement
- Assessment must take account of the endorsed assessment guidelines in the Business Services Training Package
- Assessment of performance requirements in this unit should be undertaken in an actual workplace or simulated environment
- Assessment should reinforce the integration of the key competencies and the business services common competencies for the particular AQF level. Refer to the Key Competency Levels at the end of this unit

Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 3	Level 3	Level 3	Level 3	Level 2	Level 3	Level 2

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information –** to prepare the tactical and operational plans
- **Communicating ideas and information –** to internal/external customers and review systems
- **Planning and organising activities –** to develop plans and review/redesign systems
- **Working with teams and others –** to consult with them and obtain their input into planning and system review activities
- **Using mathematical ideas and techniques –** to ensure appropriate measurement activities are in place
- **Solving problems –** to improve existing systems and achieve tactical/operational objectives
- **Using technology –** to improve system's performance

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSBMGT604A Manage business operations

Unit Descriptor

The unit covers those activities required of a manager running a business operation and links closely with the business planning units. The emphasis is on the implementation of plans and the monitoring and response to systems failures.

This unit is the implementation of the work done in BSBMGT603A Review and develop business plans; co-assessment should be strongly considered.

Consider co-assessment also with BSBMGT606A Manage customer focus and BSBMGT609A Manage risk.

Competency Field Business Management Services

Element	Performance Criteria
1. Implement tactical and operational plans	1.1 *Supply chains* of resources to organisation or department established and operating effectively
	1.2 Requirements for skilled labour are met in accordance with plans
	1.3 Activities are brought on line in accordance with scheduling requirements of plans
	1.4 *Preventative and breakdown maintenance arrangements* for business systems are integrated into operations
	1.5 Cost maintenance and control systems are implemented
	1.6 *Performance measurement systems* are tested and operational
	1.7 Projects are commenced consistent with the project management plan
	1.8 Co-ordination of people, resources and equipment provide *optimum results*
	1.9 Products/services meet *quality* and functional specifications
	1.10 Communication/consultation is undertaken according to plans
	1.11 Implementation is consistent with business and strategic plans in place
2. Monitor performance	2.1 Performance indicators and criteria for assessment are confirmed and in place
	2.2 Indicators/criteria are consistent with organisational objectives and planned outcomes
	2.3 Projects are managed in accordance with established *project management protocols*

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Element	Performance Criteria
	2.4 *Timely* reports on all key aspects of the business are available and user-friendly, and balanced in terms of financial and non financial performance
	2.5 System failures, product failures and variances to plan are reported as they occur
3. Respond to performance data	3.1 Relevant performance reports are identified and analysed in detail
	3.2 System specifications and protocols are reviewed to eliminate future failure
	3.3 Groups and individuals contributing to under-performance are *coached*, and training provided where appropriate
	3.4 System processes and work methods are regularly reviewed as part of continual improvement

Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Legislation, codes and national standards relevant to the workplace which may include:	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Supply chains means:	• a network of facilities that procures raw materials, transforms them into intermediate products (or services) and then finished goods (or services), and delivers them through a distribution system. It spans procurement, production and distribution; views them not as discrete elements but interlinked
Preventative and breakdown maintenance arrangements may include:	• programmed maintenance • preventative maintenance plans • emergency response plans
Performance measurement systems means:	• those systems designed to collect quantitative and qualitative indicators of performance in all of the Key Result Areas for the organisation so as to identify and remediate variances to plans

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Range Statement

Optimum results means:	• that the best overall mix of results is achieved across the organisation's Key Result Areas. Outcomes are measured within the applicable constraints
Quality means:	• meeting all quality assurance specifications of the organisation
Project management protocols means:	• the rules of behaviour relating to the development, planning, approval, implementation, management and evaluation of projects
Timely means:	• in accordance with time limits established in the operational planning process
Coaching refers to:	• informal on-the-job and off-the-job advice and training to improve performance

Evidence Guide

The Evidence Guide identifies the critical aspects, knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence	• The evidence must cover the translation of the plans previously developed, into workable activities or projects • There must be evidence of a systematic value chain analysis of all of the support activities of the business and the outcomes of that analysis being translated into action • Evidence of risk management and evaluation of performance leading to effective remediation also needs to be present
OHS considerations may include:	• review of OHS records and performance management measures • establishment and maintenance of OHS risk management approaches • systemic use of hierarchy of control measures • establishment and maintenance of OHS systems for project management

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Evidence Guide

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of specialised knowledge with depth in some areas.

- 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
- Strategic planning
- All legislation relevant to the organisation's operation
- Critical path/PERT methodology
- Relevant industrial awards and agreements
- Electronic commerce systems
- Consultative methods and processes
- Performance measurement and benchmarking methodology
- Operations management
- High reliability organisational concepts
- Energy management
- Capital investment evaluative methodology including NPV and ROI

Underpinning Skills

- Analytical and evaluative skills to assess supply chain performance
- Performance measurement skills to develop and manage key performance indicators
- Planning and co-ordination skills to ensure the people resources and equipment work in a functional manner to achieve optimum results
- Communication/consultation skills to ensure all relevant groups and individuals are advised of what is occurring and are provided with an opportunity for input
- Project management skills to ensure project objectives, outcomes and outputs are delivered on time, within budget, and incident free
- Communication and report writing skills to keep all internal customers informed of activities and developments
- Systems analysis and design skills to ensure that system outputs meet tactical/operational objectives and measure performance in a timely way
- Coaching and training skills to remediate any under-performance present in the work group or individuals
- Ability to relate to people from a range of social,

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Evidence Guide

	cultural and ethnic backgrounds and physical and mental abilities
Resource Implications	The learner and trainer should have access to appropriate documentation and resources normally used in the workplace
Consistency of Performance	In order to achieve consistency of performance, evidence should be collected over a set period of time which is sufficient to include dealings with an appropriate range and variety of situations
Context/s of Assessment	• Competency is demonstrated by performance of all stated criteria, including paying particular attention to the critical aspects and the knowledge and skills elaborated in the Evidence Guide, and within the scope as defined by the Range Statement • Assessment must take account of the endorsed assessment guidelines in the Business Services Training Package • Assessment of performance requirements in this unit should be undertaken in an actual workplace or simulated environment • Assessment should reinforce the integration of the key competencies and the business services common competencies for the particular AQF level. Refer to the Key Competency Levels at the end of this unit

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Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 3	Level 3	Level 3	Level 3	Level 2	Level 3	Level 2

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information –** to ensure plans in place meet all quality requirements
- **Communicating ideas and information –** to ensure that all appropriate individuals understand the plans and systems
- **Planning and organising activities –** to review systems and processes to achieve continuous improvement
- **Working with teams and others –** to ensure that they are pro-active in the management of the operations
- **Using mathematical ideas and techniques –** to analyse system/product failures
- **Solving problems –** to eliminate any negative variances to the plan
- **Using technology –** to improve system processes and work methods wherever appropriate

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

BSBMGT605A Provide leadership across the organisation

Unit Descriptor This unit covers the demonstration of leadership behaviour and *personal and professional competence* necessary to manage at a senior level. It may relate equally to leadership of a small to medium sized organisation or a significant unit of activity in a large organisation.

Competency Field Business Management Services

Element	Performance Criteria
1. Communicate organisational mission and goals	1.1 Objectives, values and standards are clarified in accordance with organisation's strategic direction
	1.2 Linkages between organisational objectives, values and standards and the responsibilities of relevant groups and individuals are established
	1.3 Media and language used is appropriate to individuals and group circumstances
	1.4 Expectations of internal groups and individuals are clearly stated and explained in a manner which builds commitment to the organisation
	1.5 Community expectations of the organisation including product safety, OHS, environmental management and any other factors which could potentially impact on the community, are addressed
	1.6 *Incidents* are investigated promptly, and results clearly communicated to relevant groups and individuals
2. Influence groups and individuals	2.1 Trust, confidence and respect of diverse groups and individuals, are built through positive role modelling and effective communication and consultation
	2.2 Organisational and workplace culture improvements are embraced, resourced and implemented effectively
	2.3 Understanding of the global environment and new technology is demonstrated in work activities
	2.4 Actions convey flexibility, adaptability to change and accessibility
	2.5 Consultation and participation in decision making occurs with relevant groups and individuals where appropriate
	2.6 Decision making takes into account needs and expectations of both internal and external groups
	2.7 Decision making occurs in accordance with *risk management* plans for all options, and within appropriate time frames

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Element	Performance Criteria	
	2.8	Exemplary conduct and performance is demonstrated to build trust and support of both colleagues and those to whom you report
	2.9	Public relations strategy is in place to represent the organisation positively in the media and community
3. Build and support teams	3.1	*Accountabilities and responsibilities* are assigned to teams consistent with their competencies and operational plans
	3.2	Teams are resourced to allow them to achieve their objectives
	3.3	Teams and individuals are empowered through effective delegations and support for their initiatives
	3.4	*A positive work environment* is created and maintained
	3.5	Teams and individuals are encouraged to develop innovative approaches to the performance of work
4. Demonstrate personal and professional competence	4.1	Personal qualities and managerial performance are modelled consistent with the performance standards/Code of Conduct of the organisation
	4.2	Self control and self regulation are demonstrated at all times
	4.3	Appropriate interpersonal and leadership styles are adopted to meet particular circumstances and situations
	4.4	Personal objectives and work program outcomes are set and met
	4.5	New knowledge and technology is utilised to continuously improve business processes and product delivery
	4.6	Self performance and *professional competence* is continuously improved through engagement in a range of professional development activities
	4.7	Participation in industry/professional networks and groups occurs regularly
	4.8	Conflict issues and problems are managed through effective negotiations, to achieve optimum business outcomes
	4.9	Problems are handled in a professional and empathetic way
	4.10	Action is preceded by analysis planning and strategic thinking

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Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Legislation, codes and national standards relevant to the workplace which may include:

- award and enterprise agreements and relevant industrial instruments
- 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 industry codes of practice

Personal competence means:

- the acquisition and demonstration of the range of behaviours necessary to achieve the organisational objectives. They may include:
  - flexibility
  - adaptability to change
  - accessibility
  - self analysis
  - decisiveness
  - personal performance appraisal

Professional competence means:

- the acquisition and demonstration of the range of knowledge and skills necessary to deliver optimum results for that part of the organisation for which the person is accountable

Incidents may include:

- product failure
- emergency response
- workplace accident
- environmental event (emissions, noise, etc)

Risk management means:

- the process of identification of potential negative events and the development of plans to mitigate or minimise the likelihood of the negative event occurring and/or the consequences in the event it does occur

Accountabilities and responsibilities means:

- clarification of who is to be accountable for a decision or action prior to its execution, and identification of groups, individuals and activities for which a person is responsible for managing

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Range Statement

Positive work environment means:

- an environment where employees identify with the organisation and its purpose and where communication is free-flowing, decisions are transparent and conflict is positive and constructive

Evidence Guide

The Evidence Guide identifies the critical aspects, knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- Evidence of effective communication skills and an ability to win commitment to the organisation and its activities must be produced
- The extent to which personal and professional competence is demonstrated, will require input from a wide range of sources providing evidence in respect to a broad range of activities and situations
- The organisation must have a clear definition of the personal competence requirements of their managers

OHS considerations may include:

- establish and maintain framework for OHS system
- leadership in OHS practice as ethical standards, legislative requirements and good corporate governance
- support for, and use of, participative arrangements

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of specialised knowledge with depth in some areas.

- 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
- Organisation mission, purpose and values
- Organisation objectives, plans and strategies
- Leadership styles
- Strategic planning methodologies
- Data collection methods
- Inventory management systems including material resource planning systems
- Value chain concepts
- External environment scanning relating to social, political, economic and technological developments
- Core competency concepts
- Concept of sustainable competitive advantage

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Evidence Guide

- Consultative processes and methods
- Organisational change processes
- Organisational design principles
- Legislation, codes and by-laws relevant to the organisation's operations

Underpinning Skills

- Networking skills to ensure support from key groups and individuals for concepts/ideas/products/services
- Communication/consultation skills to ensure all relevant groups and individuals are advised of what is occurring and are provided with an opportunity for input
- Risk management skills to analyse, identify and develop mitigation strategies for identified risks
- Situational analysis skills to direct, motivate, consult and/or delegate with the leadership behaviour appropriate to the competence and confidence of the team/individual involved and the circumstances of the situation
- Ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities

Resource Implications

The learner and trainer should have access to appropriate documentation and resources normally used in the workplace

Consistency of Performance

In order to achieve consistency of performance, evidence should be collected over a set period of time which is sufficient to include dealings with an appropriate range and variety of situations

Context/s of Assessment

- Competency is demonstrated by performance of all stated criteria, including paying particular attention to the critical aspects and the knowledge and skills elaborated in the Evidence Guide, and within the scope as defined by the Range Statement
- Assessment must take account of the endorsed assessment guidelines in the Business Services Training Package
- Assessment of performance requirements in this unit should be undertaken in an actual workplace or simulated environment
- Assessment should reinforce the integration of the key competencies and the business services common competencies for the particular AQF level. Refer to the Key Competency Levels at the end of this unit

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Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 3	Level 3	Level 3	Level 3	Level 2	Level 3	Level 2

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information –** to ensure that individuals and teams across the organisation are well informed
- **Communicating ideas and information –** to ensure that commitment is gained towards the organisation's objectives/direction
- **Planning and organising activities –** to provide the necessary support to team members
- **Working with teams and others –** to develop innovative approaches to achieving organisational objectives
- **Using mathematical ideas and techniques –** to assist in the calculation of organisation targets, objectives and performance criteria
- **Solving problems –** to achieve business outcomes and assist teams
- **Using technology –** to manage personal time and communicate with relevant groups and individuals

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

BSBMGT606A Manage customer focus

Unit Descriptor

This unit covers planning at the tactical level, and the implementation of those plans, to ensure that business expansion and internal and external customer satisfaction levels are in keeping with business plans.

Consider co-assessment with BSBMGT604A Manage business operations.

Competency Field

Business Management Services

Element	Performance Criteria
1. Determine customer requirements	1.1 Opportunities are provided for customers and staff to provide feedback on existing products/services
	1.2 The market is clearly identified in terms of post, present and potential customers
	1.3 Research is commissioned to capture the needs of the market, including *electronic commerce* solutions
	1.4 The market is provided with all relevant information about products/services supplies
	1.5 *Customer service standards and plans* are developed from research, customer feedback and consultation with relevant individuals
	1.6 Standards and plans clearly state quality, time and delivery specifications, and cost of products/services to be supplied
	1.7 Specifications meet all legal and organisational requirements
	1.8 *Risk management* plans have been implemented in relation to all products/services
2. Manage delivery of products and services to customers	2.1 *Relevant groups and individuals* have access to customer service standards and plans
	2.2 *Relevant groups and individuals* are competent to deliver products/services to standards required
	2.3 Products/services are delivered to standard required
	2.4 Groups and individuals meet all *customer service standards and plans*
	2.5 Performance improvement plans are developed and implemented where under-performance occurs or opportunity for improvement arises
3. Monitor and evaluate quality of customer service	3.1 *Appropriate systems* are developed and technology used to effectively monitor performance against targets and standards

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Element	Performance Criteria
	3.2 Feedback is obtained in regard to *customer satisfaction*, on an on-going basis, and utilised to implement remedial action where necessary
	3.3 Appropriate groups and individuals are consulted to identify activities to be undertaken to improve customer service
	3.4 Continuous improvement strategies are built into future business plans of relevant groups and individuals
	3.5 Reports are prepared and circulated to relevant groups and individuals for follow-up

Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Legislation, codes and national standards relevant to the workplace which may include:	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Electronic commerce refers to:	• business-to-business, business-to-consumer, government-to-business activities conducted via electronic communication methodologies and networks
Customer service standards and plans may include:	• response times/delivery times • protocols • quality specifications
Risk management means:	• the process of identification of potential negative events and the development of plans to mitigate or minimise the likelihood of the negative event occurring and/or the consequences in the event it does occur
Relevant groups and individuals means:	• those persons who have a responsibility for the delivery of products/services to both external/internal customers

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Range Statement

Appropriate systems may include:	• quality management • customer feedback/response
Customer satisfaction means:	• the extent to which the product or service delivered matches the customer's expectations in regard to price, quality and value to them

Evidence Guide

The Evidence Guide identifies the critical aspects, knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence	• All managers have customers (either internal or external) and assessment should cover the whole customer service/quality assurance process • Managers should be actively involved in the development of customer service standards (clearly linked to the customer requirements) and clear evidence needs to be available of their effective oversight of the delivery of products and services to predetermined specifications and customer expectations
OHS considerations may include:	• review of standards, plans and specifications in terms of OHS legislation (supplier, importer, etc.) • safe delivery of organisation's products/services • systems for supply monitor OHS performance
Underpinning Knowledge*	• 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 • Marketing principles sufficient to communicate with marketing experts as necessary • Electronic commerce applications relevant to the organisation • Legal requirements to operate the organisation • Organisational policies, principles, codes and performance standards • Risk management • Performance management systems used in the organisation • Quality management systems

* At this level the learner must demonstrate understanding of specialised knowledge with depth in some areas.

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Evidence Guide

Underpinning Skills

- Communication/consultation skills to ensure all relevant groups and individuals are advised of what is occurring and are provided with an opportunity for input
- Risk management skills to analyse, identify and develop mitigation strategies for identified risks
- Performance measurement skills to develop and manage key performance indicators
- Report writing skills to develop and disseminate information on customer service performance
- Ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities

Resource Implications

The learner and trainer should have access to appropriate documentation and resources normally used in the workplace

Consistency of Performance

In order to achieve consistency of performance, evidence should be collected over a set period of time which is sufficient to include dealings with an appropriate range and variety of situations

Context/s of Assessment

- Competency is demonstrated by performance of all stated criteria, including paying particular attention to the critical aspects and the knowledge and skills elaborated in the Evidence Guide, and within the scope as defined by the Range Statement
- Assessment must take account of the endorsed assessment guidelines in the Business Services Training Package
- Assessment of performance requirements in this unit should be undertaken in an actual workplace or simulated environment
- Assessment should reinforce the integration of the key competencies and the business services common competencies for the particular AQF level. Refer to the Key Competency Levels at the end of this unit

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Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 3	Level 3	Level 3	Level 3	Level 2	Level 3	Level 2

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information –** to develop customer service standards and plans
- **Communicating ideas and information –** to consult groups and individuals about improvement to customer service
- **Planning and organising activities –** to assess performance
- **Working with teams and others –** to identify customer needs
- **Using mathematical ideas and techniques –** to develop service standards, response times and measurement systems
- **Solving problems –** to remove customer concerns
- **Using technology –** to monitor performance against targets

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSBMGT607A Manage knowledge and information

Unit Descriptor This unit covers the development and maintenance of information processing systems to support decision making and optimise the use of knowledge and learning throughout the organisation. The unit is related to almost every other unit in Strategic Management. Depending upon the circumstances, co-assessment could be undertaken with any number of them.

Competency Field Business Management Services

Element	Performance Criteria
1. Obtain information relevant to business issues	1.1 Staff and customer feedback, as well as business performance data, is reviewed
	1.2 Business problems and issues are identified, defined and analysed
	1.3 Information required to reach a decision on problems/issues, is identified
	1.4 Information is reliably sourced and efficiently gathered
	1.5 Information is tested for reliability and validity, and rejected where contradictory or ambiguous
	1.6 Formal and informal networks are utilised to access corporate knowledge/memory not held in formal systems, and are reviewed appropriately
2. Analyse information and knowledge	2.1 Objectives for analyses are clear, relevant and consistent with the decisions required
	2.2 Patterns and emerging trends are correctly identified and interpreted as to cause and effect
	2.3 *Statistical analyses* and interpretation are utilised where appropriate
	2.4 *Sensitivity analysis* is undertaken on any options proposed
	2.5 Documentation reflects logical approach to the evaluation of the evidence and conclusions drawn
	2.6 *Management information systems/decision support systems* are adjusted to meet information processing objectives
3. Take decisions on business issues identified	3.1 Sufficient valid and reliable information/evidence is available to support a decision
	3.2 *Risk management* plans are utilised to determine acceptable courses of action
	3.3 *Quantitative methods* which are appropriate, are utilised to assist decision making where appropriate

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Element	Performance Criteria
	3.4 Specialists and other *relevant groups and individuals* are consulted
	3.5 Decisions taken are within the delegation/accountability of the group/individual responsible
	3.6 Decisions reached are in accordance with organisation guidelines/procedures
	3.7 Decisions taken are consistent with organisation objectives, values and standards
	3.8 Decisions are taken in a *timely manner*
4. Disseminate information to the organisation	4.1 *Research* and consultation is undertaken in respect to group/individual information needs
	4.2 Advice/information needs are documented and specific in respect to location, format and timeline requirements
	4.3 Information is documented and data bases updated regularly
	4.4 *Systems* are designed and tested to meet information requirements of decision makers
	4.5 Information is up-to-date, accurate and relevant and sufficient for the recipient
	4.6 *Communication plans* are developed which provide for recipient evaluation on a regular basis
	4.7 Confidentiality/privacy policies are adhered to in the transmission/release of information/advice
	4.8 *Communication plans* are regularly reviewed and up-dated
	4.9 *Technology,* which provides optimum efficiency and quality, is utilised
	4.10 *Corporate knowledge* is maintained and security is ensured

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Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Legislation, codes and national standards relevant to the workplace which may include:	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Statistical analyses may include:	• short to medium term trend analyses • long term trend analyses • regulation analyses • correlation calculations • probability assessment
Sensitivity analyses means:	• applying what/if scenarios to the various options available
Management information systems means:	• the formal systems for collecting, storing and synthesizing information to be used in management decision making
Decision support systems are:	• management information systems which include some form of computer-based assistance to decision making (expert systems)
Risk management means:	• the process of identification of potential negative events and the development of plans to mitigate or minimise the likelihood of the negative event occurring and/or the consequences in the event it does occur
Quantitative methods may include:	• linear programming • transportation methodology • queuing theory • dynamic programming • simulation

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Range Statement

Relevant groups and individuals means:	• those personnel who have knowledge about the issue being dealt with and the expertise to assist the decision making process
Timely manner means:	• promptly, and providing adequate time for planning and implementation
Research may include:	• surveys • focus groups • individual interviews • group interviews
Systems refers to:	• a detailed description/depiction of how organisations relate to their environments and how they process information through strategic and tactical management to develop actual operating procedures
Communication plans means:	• a structured program for the dissemination of information, and the receipt of feedback information from individuals, relevant to the process or activity
Technology may include:	• telephone • radio • television • internet • intranet • print media • audio visual media
Corporate knowledge may include:	• technology • copyright • intellectual property

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Evidence Guide

The Evidence Guide identifies the critical aspects, knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- Evidence must be available which tracks a particular problem/issue through the information gathering and analysis phase and arrives at a decision (or decisions) which is/are taken and are disseminated to relevant groups and individuals in the organisation and outside it (where appropriate)
- Evidence should also be available of the development/utilisation of relevant information processing systems, as well as accessing informal information/knowledge from informal networks within the organisation

OHS considerations may include:

- provision of information about OHS and the organisation's OHS policies, procedures and programs
- establishment and maintenance of systems for OHS information records, data analysis and reporting

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of specialised knowledge with depth in some areas.

- 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
- Knowledge of the Key Result Areas of the organisation and their supporting strategies/plans/objectives
- Statistical techniques for analysing and interpreting data
- Decision systems to evaluate options and take the decision
- Risk management
- Information processing

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Evidence Guide

Underpinning Skills

- Networking skills to ensure support from key groups and individuals for concepts/ideas/products/services
- Analytical skills to identify improvement opportunities in relation to the services/products you deliver internally or concepts/ideas in your area of expertise
- Evaluative skills to maintain performance and assess the use of alternative suppliers/contractors
- Operations management skills to utilise quantitative techniques as an aid to decision making
- Communication/consultation skills to ensure all relevant groups and individuals are advised of what is occurring and are provided with an opportunity for input
- Ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities

Resource Implications

The learner and trainer should have access to appropriate documentation and resources normally used in the workplace

Consistency of Performance

In order to achieve consistency of performance, evidence should be collected over a set period of time which is sufficient to include dealings with an appropriate range and variety of situations

Context/s of Assessment

- Competency is demonstrated by performance of all stated criteria, including paying particular attention to the critical aspects and the knowledge and skills elaborated in the Evidence Guide, and within the scope as defined by the Range Statement
- Assessment must take account of the endorsed assessment guidelines in the Business Services Training Package
- Assessment of performance requirements in this unit should be undertaken in an actual workplace or simulated environment
- Assessment should reinforce the integration of the key competencies and the business services common competencies for the particular AQF level. Refer to the Key Competency Levels at the end of this unit

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Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 3	Level 3	Level 3	Level 3	Level 2	Level 3	Level 2

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information –** to identify problems/issues requiring intervention
- **Communicating ideas and information –** to develop communication plans for decisions to be taken
- **Planning and organising activities –** to develop and maintain informal networks
- **Working with teams and others –** to ensure the quality and adequacy of the information available for the decision
- **Using mathematical ideas and techniques –** to apply in quantitative decision making techniques
- **Solving problems –** to identify and rectify problems/issues
- **Using technology –** to collect and analyse information and disseminate decisions

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSBMGT608A Manage innovation and continuous improvement

Unit Descriptor This unit covers sustaining an environment in which continuous improvement and learning are promoted and rewarded, including the application of relevant technology.

Competency Field Business Management Services

Element	Performance Criteria
1. Review programs, systems and processes	1.1 *Strategies* are established to monitor and evaluate performance of key systems and processes
	1.2 Detailed analyses of *supply chains*, operational and product/service delivery systems are undertaken
	1.3 Performance measures, assessment tools and techniques are identified, analysed and acted upon
	1.4 *Performance reports* and variance from plans are analysed for all key result areas of the organisation
	1.5 Changing trends and opportunities relevant to the organisation are identified and analysed
	1.6 Advice is sought from *specialists*, where appropriate, to identify technology and electronic commerce opportunities
2. Develop options for continuous improvement	2.1 Groups are briefed on performance improvement strategies and innovation as an essential element of competition
	2.2 *Creative climate* and *organisational learning* is fostered through the promotion of interaction within and between work groups
	2.3 New ideas and entrepreneurial behaviour are encouraged, tried and recognised where successful
	2.4 *Failure* of an idea is accepted as a reasonable price during trialling; success is recognised and celebrated, and embedded into systems
	2.5 *Risk management* and *cost benefit analyses* are undertaken for each option/idea approved for trial
	2.6 *Innovations* are approved through agreed organisational processes
3. Implement innovative processes	3.1 *Continuous improvement* is promoted as an essential part of doing business
	3.2 Impact of change and consequences for people are addressed and *transition plans* implemented

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Element	Performance Criteria
	3.3 Objectives, timeframes, measures and communication plans are in place to manage implementation
	3.4 *Contingency plans* are implemented in the event of non-performance
	3.5 *Failure* is followed by prompt investigation and analysis of causes
	3.6 *Emerging challenges and opportunities* are managed effectively
	3.7 *Continuous improvement* systems and processes are regularly evaluated
	3.8 Costs and benefits of innovations and improvements are communicated to all relevant groups and individuals

Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Legislation, codes and national standards relevant to the workplace which may include:	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Strategies means:	• long term plans which will guide the organisation in achieving its mission
Supply chain refers to:	• a network of facilities that procures raw materials, transforms them into intermediate products (or services) and then finished goods (or services), and delivers them through a distribution system. It spans procurement, production and distribution; views them not as discrete elements but interlinked

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Range Statement

Performance reports may include:	• financial • budget/cost variance • OHS • environmental • quality • customer service • other operating parameters
Specialists refers to:	• those people inside and outside the organisation who are expert in the application of technology to process systems and procedures, relevant to the organisation's business
Creative climate means:	• a climate of high motivation, extensive expertise, deliberative and lateral thinking time to think through and test out ideas
Organisation learning refers to:	• the extent to which groups and individuals within an organisation are given the opportunity to learn from each other and encouraged to share their learning
Failure means:	• partial or total failure of an innovation or idea to meet the pre-determined objectives/outcomes
Risk management means:	• the process of identification of potential negative events and the development of plans to mitigate or minimise the likelihood of the negative event occurring and/or the consequences in the event it does occur
Cost benefit analyses means:	• a calculation to determine whether the results/outcomes of a particular course of action are sufficient to justify the costs and risks in taking that action
Innovations means:	• to bring in something new to the organisation. It may be an adaptation or change to a process, product, service, procedure or system, as well as something completely new
Continuous improvement means:	• consistently reviewing what we do in search of a better way and improving the organisation in every aspect of its activities

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Range Statement

Resources may include:
- physical
- financial
- human

Transition plan means:
- a process of communication and education to help people through major change programs which impact on the way they do their work or them personally

Contingency plan means:
- a plan which will deal with the uncertainty of a proposal and will come into operation in the event of a failure or non-conformance

Emerging challenges and opportunities means:
- events/incidents relating to the innovation being implemented which could lead to a less effective implementation (challenge) or greater benefits to the organisation than previously thought (opportunity)

Evidence Guide

The Evidence Guide identifies the critical aspects, knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence
- Whilst evidence of success in bringing an idea into the organisation and developing an innovation is always the objective of these activities, evidence of idea creation, innovation, testing and evaluation is more critical. The innovations do not have to work for successful promotion to be evidenced
- Evidence of both formal and informal consultation and participation in the search for continuous improvement is essential for this unit

OHS considerations may include:
- evaluation of organisation's OHS system and related policies, procedures and programs
- implementation of OHS management system with continuous improvement features

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Evidence Guide

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of specialised knowledge with depth in some areas.

- 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
- Strategic planning
- Supply chain management
- Performance measurement
- Quality management
- Electronic commercial applications
- Creativity/innovation theories/concepts
- Risk management
- Contingency plans
- Continuous improvement

Underpinning Skills

- Quantitative methods including queuing transport, ATM and linear programming techniques
- Analytical skills to identify improvement opportunities in relation to the services/products you deliver internally or concepts/ideas in your area of expertise
- Evaluative skills to maintain performance and assess the use of alternative suppliers/contractors
- Performance measurement skills to develop and manage key performance indicators
- Risk management skills to analyse, identify and develop mitigation strategies for identified risks
- Cost and benefit analysis skills to produce balanced arguments to support financial proposals
- Contingency planning skills to ensure that the risk of failure is minimised and/or in the event of failure, the consequences are minimal
- Ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities

Resource Implications

The learner and trainer should have access to appropriate documentation and resources normally used in the workplace

Consistency of Performance

In order to achieve consistency of performance, evidence should be collected over a set period of time which is sufficient to include dealings with an appropriate range and variety of situations

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Evidence Guide

Context/s of Assessment

- Competency is demonstrated by performance of all stated criteria, including paying particular attention to the critical aspects and the knowledge and skills elaborated in the Evidence Guide, and within the scope as defined by the Range Statement
- Assessment must take account of the endorsed assessment guidelines in the Business Services Training Package
- Assessment of performance requirements in this unit should be undertaken in an actual workplace or simulated environment
- Assessment should reinforce the integration of the key competencies and the business services common competencies for the particular AQF level. Refer to the Key Competency Levels at the end of this unit

Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 3	Level 3	Level 3	Level 3	Level 2	Level 3	Level 2

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information –** to undertake performance/variance analysis
- **Communicating ideas and information –** to brief groups on performance improvement strategies
- **Planning and organising activities –** to promote learning and interaction between work groups
- **Working with teams and others –** to undertake risk management and cost benefit analysis
- **Using mathematical ideas and techniques –** to apply statistical and quantitative analysis
- **Solving problems –** to ensure successful implementation of the innovation
- **Using technology –** to enhance the innovation

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSBMGT609A Manage risk

Unit Descriptor

This unit covers the development, implementation and evaluation of a risk management plan for the organisation. It incorporates an assessment of all potential risks facing the organisation and the development of strategies and plans to mitigate all risk situations through elimination, isolation or protection.

This unit provides a foundation for other Strategic Management units available at Advanced Diploma level.

Consider co-assessment with any other unit in which risk analysis and risk management are an integral part, especially BSBMGT610A Manage environmental management systems.

Competency Field Business Management Services

Element	Performance Criteria
1. Develop risk management plan	1.1 Strategic position and policy on *risk management* are analysed are interpreted
	1.2 Organisation is audited to identify risk management context and potential areas of risk
	1.3 Organisational capability to reduce/control the likelihood of both incidents and consequences is analysed
	1.4 *Risk register* is developed incorporating a probability/consequence matrix
	1.5 *Risk management* policies are documented and include provisions for training/education of all *relevant groups and individuals*
	1.6 Access to *external specialist assistance* is identified within the plan
	1.7 Procedures for on-going identification of *risks* are established
2. Implement risk management plan	2.1 Monitoring of activities to identify potential risk is undertaken continuously
	2.2 Sources of risk are clearly documented and analysed
	2.3 *Risks* are examined in terms of the criteria in the risk management plan
	2.4 *Risks* classified as low/acceptable are placed on a monitor/review watch list
	2.5 *Risks* that are unacceptable are eliminated wherever practicable
	2.6 *Risks* that cannot be eliminated are mitigated/minimised in accordance with the *risk management* plan
	2.7 Strategies for risk minimisation are documented

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Element	Performance Criteria
3. Evaluate risk management plan	3.1 Procedures are in place to review *risk management* activities regularly
	3.2 Activities which do not achieve their objectives/performance outcomes are examined to determine cause
	3.3 Incidents which occur that indicate a *near miss* are analysed and the *risk management* plan reviewed on each occasion
	3.4 Evaluation of *risk management* is a key component of all projects/activities

Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Legislation, codes and national standards relevant to the workplace which may include:	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Risk management means:	• the process of identification of potential negative events and the development of plans to mitigate or minimise the likelihood of the negative event occurring and/or the consequences in the event it does occur
Risk register refers to:	• a register of all identified risks and documentation of the strategies/plans in place to deal with any event/incident which might occur
Relevant groups and individuals refers to:	• those personnel who have knowledge about the issue being dealt with and the expertise to assist the decision making process
External specialist assistance means:	• any group or individual in the community who has the expertise to assist the organisation to deal with any event/incident which may occur

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Range Statement

Risks may include:

- Occupational Health & Safety (including disease)
- environmental
- product failure
- financial/economic loss/failure
- damage to property/equipment
- industrial disputation
- professional incompetence
- natural disasters
- security failure (including criminal or terrorist activities)
- equipment/system failures
- political events

Near miss refers to:

- an event or incident which, in other circumstances, may have resulted in an injury to a person, damage to property or some other negative impact on the organisation or the community

Evidence Guide

The Evidence Guide identifies the critical aspects, knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- This unit is about managing risk. It is not about being an expert in every facet of the business and/or doing all of the risk management planning and implementation. There needs to be clear evidence of a systematic approach to the identification of risk in each of the relevant categories and the development of plans to eliminate, isolate or protect people (and/or equipment) in the event of the potential negative event occurring
- **Note:** Persons and organisations engaged in assessing managers in this unit need to themselves have appropriate qualifications and experience in risk management as well as assessment

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Evidence Guide

OHS considerations may include:

- review and evaluation of previous OHS plans and programs
- implementation of OHS systems for projects
- use of participative arrangements for review of OHS in operational performance
- development and review of OHS performance targets
- framework and components of OHS management system, its structures and performance
- systemic review procedures

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of specialised knowledge with depth in some areas.

- 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
- Strategic, tactical and operational plans of the organisation
- Organisational capability to deal with events/incidents
- Disaster/emergency/evacuation plans
- Legal requirements for operating the business
- Relevant awards and industrial agreements
- Workplace standards for OHS and environmental requirements

Underpinning Skills

- Communication/consultation skills to ensure all relevant groups and individuals are advised of what is occurring and are provided with an opportunity for input
- Conflict management skills to mediate, negotiate and/or attempt to obtain consensus between individuals/groups in conflict situations which are dysfunctional in relation to the organisation's performance
- Process analysis skills to identify potential risks/hazards of any type
- Problem solving skills to deal effectively with risks and hazards as identified
- Ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities

Resource Implications

The learner and trainer should have access to appropriate documentation and resources normally used in the workplace

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Evidence Guide

Consistency of Performance

In order to achieve consistency of performance, evidence should be collected over a set period of time which is sufficient to include dealings with an appropriate range and variety of situations

Context/s of Assessment

- Competency is demonstrated by performance of all stated criteria, including paying particular attention to the critical aspects and the knowledge and skills elaborated in the Evidence Guide, and within the scope as defined by the Range Statement
- Assessment must take account of the endorsed assessment guidelines in the Business Services Training Package
- Assessment of performance requirements in this unit should be undertaken in an actual workplace or simulated environment
- Assessment should reinforce the integration of the key competencies and the business services common competencies for the particular AQF level. Refer to the Key Competency Levels at the end of this unit

Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 3	Level 3	Level 3	Level 3	Level 2	Level 3	Level 2

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – to conduct the risk management audit
- **Communicating ideas and information** – to educate managers about the importance of the risk management plan
- **Planning and organising activities** – to develop appropriate mitigation strategies
- **Working with teams and others** – to simulate/test the effectiveness of the risk management plan
- **Using mathematical ideas and techniques** – to calculate probability and consequences associated with risk
- **Solving problems** – to eliminate and/or minimise risk
- **Using technology** – to provide timely access to risk management documentation

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSBMGT610A Manage environmental management systems

Unit Descriptor

This unit covers the scoping, establishment and review of the organisation's environmental management systems in regard to environmental sustainability as an integral part of business planning.

All those who have a senior management responsibility would be advised to undertake this unit.

This unit is related to BSBMGT505A Ensure a safe workplace and BSBMGT507A Manage environmental performance. Consider co-assessment with BSBMGT609A Manage risk.

Competency Field Business Management Services

Element	Performance Criteria
1. Establish an environmental management system	1.1 *Environmental management policies* that reflect the organisation's commitment to *environmental sustainability* are developed
	1.2 Environmental sustainability is identified as an integral part of business planning and promoted as a business opportunity
	1.3 Policies encourage all *stakeholders* to meet high standards of *environmental performance* and to support sustainable innovation and continuous improvement
	1.4 Policies and procedures are established to incorporate and support *triple bottom line principles*
	1.5 Policies are established which *maximise opportunities* and *minimise environmental impacts*
	1.6 Environmental management is addressed at the planning, design and evaluation stages of any change in the workplace to ensure that ongoing impacts and opportunities are identified
2. Manage innovation and improvement	2.1 Changing trends and opportunities relevant to the organisation are identified, evaluated and taken into consideration for ongoing improvement programs
	2.2 *Continuous improvement* and *sustainable innovation* are promoted as an essential part of doing business and as a context for assessment and planning of environmental performance
	2.3 Continuous improvement and innovation policies and procedures, which include training and professional development, are established to optimise the environmental performance of the organisation
	2.4 A system is established to analyse and communicate

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Element	Performance Criteria
	the costs and benefits of innovations and improvements and to measure, monitor and record environmental performance
	2.5 *Performance benchmarks* and indicators are established and *targets* are set to maximise continuous improvement
3. Review environmental management system	3.1 Processes are developed to ensure that an integrated ongoing review is part of the organisation's policy and procedures
	3.2 Organisational performance is subject to ongoing evaluation and assessment, and changes to policies are made as required to promote improvement and sustainable innovation

Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Legislation, codes and national standards relevant to the workplace which may include:

- award and enterprise agreements and relevant industrial instruments
- 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 industry codes of practice

Environmental management polices must be:

- relevant to the organisation's operations
- and must be appropriate to the scope and scale of the business

Environmental management polices may include:

- local, national and international innovations, programs and ideas
- business sustainability
- environmental load reduction
- waste minimisation
- tenders for the provision of goods and services that specify environmentally preferred selection criteria
- protection of land and habitat
- ecological considerations
- regeneration of damaged ecosystems
- media releases as a result of incidents
- environmental reporting

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Range Statement

Knowledge of legislation, codes, national standards, industry codes of practice and workplace policies and procedures must:

- be strictly relevant to the particular workplace and is not intended to include detailed technical aspects of environmental science and
- details of legislation must be directly relevant to the workplace
- be consistent with the concept that people at this level, will be dealing with environmental concepts as part of an overall management responsibility and not as an environmental specialist

Environmental improvement plans may be established at management level and may include:

- measuring, monitoring and recording environmental performance, and continually setting targets for measurable improvements
- all aspects of environmental performance including energy and other resource use, waste minimisation, recycling, transport use etc.

Environmental sustainability may be influenced by:

- the organisational culture and operations
- internal or external economic climate
- political climate
- market focus/considerations
- environmental impacts of the business operation

Business sustainability means:

- A sustainable business in this sense is profitable and competitive in the foreseeable future. Effective management of environmental impacts and opportunities can contribute to business sustainability by reducing costs, differentiating goods and services and contributing to a better corporate image.

Stakeholders may include:

- board members, financial backers, owners
- all members of the organisation, including management and staff members
- suppliers
- contractors
- others acting on the organisation's behalf
- customers
- external individuals or bodies who may have an interest in, or may be affected by the organisation

Environmental performance may be defined as:

- a measure of an organisation's impact on the environment and of their ability to manage that impact

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Range Statement

Triple bottom line principles can be defined as:	• the integration of environmental, commercial and social aspects of business operations
Maximising opportunities may involve :	• improved environmental performance • increased efficiency • use of alternative energy sources
and may improve/enhance:	• corporate image • staff morale • cost reduction • product differentiation/branding • identification of market potential
To minimise environmental impact may include minimisation of:	• waste/pollution • emissions/spills • use of resources, especially reduction of use of non-renewable resources
Continuous improvement and innovation policies may include:	• consistently reviewing activities in search of a better way, and improving the organisation in all aspects of its operation
and may look at life cycle impacts of the organisation including:	• activities and products that are designed to minimise life cycle impacts and maximises opportunities • tendering and purchasing processes that include life cycle criteria • product design and manufacture • packaging policies • product use and disposal • vehicle policies that include use of cleaner fuels or alternative energy sources and regular servicing intervals to reduce pollution and improve efficiency
Performance benchmarks and targets may include:	• best practice or industry codes for the industry/sector • levels of performance expected of organisation sectors and/or the organisation as a whole

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Evidence Guide

The Evidence Guide identifies the critical aspects, knowledge and skills to be demonstrated to confirm competency for this unit. This is an integral part of the assessment of competency and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- Evidence will need to be provided of the ability to develop and establish environmental management policies, systems and procedures in regard to managing sustainable business practices while encompassing environmental sustainability as an integral part of business planning
- N.B. Particular note must be taken that evidence must be strictly relevant to the particular management role and is not intended to include detailed technical aspects of environmental science

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of specialised knowledge with depth in some areas.

- 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
- Required knowledge is to be limited to that which is sufficient to perform the particular management function and is intended to promote environmental awareness rather than technical environment competencies
- Concepts of policy development and business planning
- Relevant system analysis and design principles
- Performance benchmarking and indicator development relevant to organisation's activities
- Environment sustainability as a "whole-system" approach
- Techniques to measure sustainability
- Quality systems
- Supply chain management
- Strategies to maximise opportunities
- Environment impact minimisation strategies
- Relevant knowledge of environmental issues, especially in regard to water catchments, air, noise, ecosystems, habitat, waste minimisation
- Relevant knowledge of ecological systems in regard to business operation

Underpinning Skills

- Communication/consultation skills to ensure all relevant groups and individuals are advised of what is

Evidence Guide

	occurring and are provided with an opportunity for input • Conflict resolution skills to mediate, negotiate and/or attempt to obtain consensus between parties • Planning and evaluation skills to develop policies and procedures • Process analysis skills to identify potential environmental and ecological impacts and opportunities • Problem solving skills to deal effectively with environmental impacts and opportunities as identified • Ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities
Resource Implications	The learner and trainer should have access to appropriate documentation and resources normally used in the workplace
Consistency of Performance	In order to achieve consistency of performance, evidence should be collected over a set period of time which is sufficient to include dealings with an appropriate range and variety of situations
Context/s of Assessment	• Competency is demonstrated by performance of all stated criteria, including paying particular attention to the critical aspects and the knowledge and skills elaborated in the Evidence Guide, and within the scope as defined by the Range Statement • Assessment must take account of the endorsed assessment guidelines in the Business Services Training Package • Assessment of performance requirements in this unit should be undertaken in an actual workplace or simulated environment • Assessment should reinforce the integration of the key competencies and the business services common competencies for the particular AQF level. Refer to the Key Competency Levels at the end of this unit

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Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 3	Level 3	Level 3	Level 3	Level 3	Level 3	Level 3

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – to aid planning and development of management systems
- **Communicating ideas and information** – to promote environmental policies as an integral part of the organisation's operations
- **Planning and organising activities** – to develop environmental management strategies
- **Working with teams and others** – to negotiate, consult and to gain support for environmental issues
- **Using mathematical ideas and techniques** – to aid planning and development
- **Solving problems** – to develop management strategies
- **Using technology** – to access and record information

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

BSBMGT611A Develop risk management strategy

Unit Descriptor

This unit specifies the outcomes required to develop a risk management strategy for an organisation, business unit or complex project or program, and plan for the implementation of the strategy.

Competency Field

Business management services

Domain

Strategic management

Application of the Competency

This unit covers the design of the organisation's risk management strategy, including establishing the risk management context; developing a risk management policy; establishing infrastructure and processes for implementing risk management strategy; and preparing to implement risk management strategy.

The unit does not cover the ongoing management of risk management processes, which is covered by BSBMGT508A Manage risk management system.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Establish the risk management context	1.1 Organisation goals and policies are examined to determine *organisational context* 1.2 *Internal and external stakeholders* are identified and consulted to determine organisation's *strategic context* 1.3 *Relevant standards and legislation* are reviewed to determine legislative and compliance context 1.4 Generic sources of *risk* affecting the organisation are identified from organisational and strategic context and documented 1.5 Impact of generic sources of risk are analysed and documented
2. Develop risk management policy	2.1 Rationale for managing risks is identified 2.2 Objectives of policy are developed 2.3 Range of issues to be covered by policy is determined 2.4 *Guidance* is sought on what constitutes acceptable risk 2.5 *Systems and infrastructure for managing risk* are developed 2.6 Responsibilities for managing risks are determined

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	2.7 Documentation requirements for risk management system are determined
	2.8 Budget for implementation of risk management system is determined
	2.9 Risk management policy and related documents are drafted
	2.10 Approval is obtained for risk management policy and related documents
3. Establish infrastructure and processes for implementing risk management strategy	3.1 Resources to implement risk management strategy are identified
	3.2 Procedures to implement risk management strategy are developed, documented and disseminated to all staff
	3.3 *Documentation requirements* for risk management strategy are developed
	3.4 Compliance requirements for treatment of risk are identified including frequency of audit, and audit processes arranged
4. Prepare to implement risk management strategy	4.1 Policy and procedures are explained and interpreted relative to the workplace, and staff assisted with application to their work practices
	4.2 Expected outcomes of the risk management strategy are explained and feedback sought on possible complications in implementation
	4.3 Actions are taken to address identified *complications in implementing risk management* strategy
	4.4 Staff are provided with required resources, information and training to implement risk management strategy
	4.5 *Strategies* are developed and implemented to build a culture of effective management and treatment of risk

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Organisational context covers:	• the organisation's: – overall mission or strategic objectives, which will provide guidance about the level of acceptable risk, and how any risk should be treated – goals, policies and operational objectives – values and culture – power structures – approach to change • the nature of business operations • human, physical and other assets of organisation
Internal and external stakeholders may include:	• staff and management • Board • suppliers and client groups • government authorities • members of the public • consultants used by organisation
Strategic context includes:	• the environment in which the organisation operates, including the following aspects of the organisation's functions: – financial – cultural – competitive – political – social – legal – safety • the organisation's strengths and weakeneses • the major stakeholders
Relevant standards and	• state, territory and commonwealth legislation:

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legislation may include:	– occupational health and safety (OHS) and public safety – company law – contract law – industrial relations law – workers compensation – privacy and confidentiality – freedom of information – environmental law – equal employment opportunity (EEO), affirmative action, anti-discrimination • standards relevant to specific industry sector • quality accreditation and quality assurance
Risk may include that relating to:	• commercial and legal relationships • economic circumstances • human behaviour and individual activities • natural events • political circumstances • technology – technological issues • management activities and controls
Guidance may be provided by:	• internal specialists in risk management • external consultants in risk management • other internal and external specialists in specific areas, such as OHS
Systems and infrastructure for managing risk may relate to and have an impact on:	• preparedness • emergency management for continuity of operations • response and recovery systems • education and training • insurances • warning systems • engineering systems and re-engineering • policy and procedure development • quality assurance systems • human and physical resources
Documentation requirements may include:	• risk register • checklists • audit tools and schedules • resource lists

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Complications in implementing risk management may arise through:	• availability of tools to implement system • resistance to change • perceived insufficiency in resources • required learning needs • unexpected internal/external changes in conditions
Strategies may include:	• identification and application of relevant competencies in performance management systems and training and development systems • public statements and affirmation of the importance of risk management from Board, CEO and senior management • rewards, incentives and penalties

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that a risk management system has been developed for the organisation as a result of research and consultation and approved for implementation within the organisation.

Specific Evidence Requirements

Required knowledge and understanding include:	• legislation, codes of practice and national standards relevant to the organisation's operations and areas of risk and potential risk • organisational policies and procedures • organisational structures and politics • overall operations of organisation
Required skills and attributes include:	• ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities • communication skills: – negotiation and consultation skills – written communication skills • problem-solving and decision-making techniques • research and analytical skills • financial analysis skills to set budget for system

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- risk assessment skills
- managing and influencing upwards
- attributes:
  - analytically minded
  - systematic and thorough

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (3)	• consulting and negotiating with internal and external stakeholders • influencing and managing upwards • communicating in writing to document systems and infrastructure for managing risk
Collecting, analysing and organising information (3)	• researching organisational information and data to establish sources of risk • analysing risks in organisational operations • producing report of proposed risk management strategy
Planning and organising activities (3)	• facilitating meetings and consultations with external and internal stakeholders • planning for approval process
Working in a team (2)	• working with internal and external personnel • analysing statistical data related to risk • applying mathematical models for risk assessment
Solving problems (3)	• identifying risks and treatment of risks • anticipating and managing development process and approval of strategy
Using technology (1)	• using software for document production, collation and analysis of data
Innovation skills (1)	• developing strategies to build a culture of effective risk management

Products that could be used as

- documented proposed risk management policies and processes

evidence include:	• documentation of responsibilities for managing risks • notes and drafts produced in process of developing proposed strategy
Processes that could be used as evidence include:	• how organisational context was determined • how stakeholders were consulted • how generic sources of risk were determined and analysed • how system compliance was assessed • how acceptable risks were determined • how systems and infrastructure for managing risks were developed • how approval was gained for proposed risk management system • how sponsorship for system was sought from senior management
Resource implications for assessment include:	• access to workplace documentation
Validity and sufficiency of evidence requires:	• that where assessment of underpinning knowledge and skills is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • that underpinning knowledge and skills may be assessed through written assignments, workplace project reports and action learning projects
Integrated competency assessment means:	• that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant units

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BSBMGT612A Plan and implement a knowledge management system

Unit Descriptor

This unit specifies the outcomes required to plan and implement a knowledge management system for an organisation. This involves identifying knowledge management needs and issues, scoping a knowledge management system, developing a knowledge management system plan, and negotiating approval for the plan.

Competency Field

Business management services

Domain

Strategic management

Application of the Competency

This unit covers the development of processes and systems to collect, organise, store, make available and apply knowledge (as distinct from data and information) to the work of the organisation, where:

- data is raw, unorganised and un-interpreted basic facts, measurements and other numbers and characters
- information is data organised and analysed to provide meaningful interpretations of data
- knowledge is the body of understanding and skill mentally constructed by people as they use information.

The unit does not apply to the roles of data management (the management of systems to record numbers, characters or other raw data) or information management (the management of records, forms, very basic reports or correspondence). It applies to the planning of a system that sits above data and information to convert them into knowledge, and applies that knowledge to the organisation's work.

Accordingly, this unit is for people who are not necessarily specialists in information and communications technology, records management, public relations or, but who have knowledge management responsibilities as part of a broader senior management role.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Identify knowledge management needs and issues	1.1 Role of *knowledge management* in organisation's operations is communicated to *relevant personnel* 1.2 *Benefits of knowledge management* to the organisation are identified and documented 1.3 Current *policies and procedures relevant to knowledge management* are identified

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	1.4	*Current and past corporate strategies, plans and activities* relevant to knowledge management are identified and analysed for relevant information
	1.5	Potential risks, threats, opportunities, strengths and weaknesses related to knowledge management are identified
	1.6	Relevant personnel and *stakeholders* are consulted about knowledge management needs and issues
	1.7	Knowledge management needs and issues are documented and incorporated into corporate strategies
2. Scope knowledge management system	2.1	Statements of *outcomes* expected from the knowledge management system are developed
	2.2	Methodologies to achieve knowledge management outcomes are identified
	2.3	Activities in line with methodologies are identified
	2.4	*Performance measures and systems* are determined
	2.5	Human resource requirements are estimated
	2.6	Other resources required are estimated
	2.7	Timelines are estimated
	2.8	Expertise required of external *specialist personnel* is estimated
	2.9	*Feasibility* is determined
	2.10	Priorities are determined
	2.11	System scope is documented
	2.12	Approval is gained for system scope
3. Develop knowledge management system plan	3.1	Knowledge management activities are specified
	3.2	Human resources required are specified
	3.3	Budgets are estimated
	3.4	Other resources required are specified
	3.5	Timelines are specified
	3.6	System plan is documented
	3.7	Approval is gained for system plan
4. Negotiate approval for knowledge management system plan	4.1	Plan is negotiated and agreed with key stakeholders
	4.2	Plan is amended if required
	4.3	Approval of plan is obtained from relevant personnel as required

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	4.4	Approved plan is communicated to relevant personnel and stakeholders
5. Establish processes to implement the knowledge management system	5.1	Resources are secured to implement knowledge management system plan
	5.2	Roles and responsibilities of implementation personnel are identified
	5.3	*Policies and procedures for knowledge management system* are documented
	5.4	Communication processes are planned and implemented to ensure organisational understanding and commitment to knowledge system
	5.5	Information technology that supports the implementation of the system is selected and commissioned
6. Implement knowledge management system	6.1	Technical implementation of the system is monitored
	6.2	Technical implementation of the system is managed to maximise system efficacy
	6.3	*Organisational change processes* are put in place to align knowledge management system with existing organisational system
	6.4	Procedural systems that support knowledge management activities are integrated or established
	6.5	Required training to implement system is identified and planned

- Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Knowledge management includes:	• the whole range of strategies, methods, activities and techniques used formally and informally by individuals and the organisation to identify, collect, organise, store, retrieve, analyse, share and apply knowledge to the work of the organisation

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Relevant personnel include:	• owners • managers, leaders, supervisors and coordinators • staff, team members and colleagues
Benefits of knowledge management may include:	• quality improvements • resource (time, money, materials) savings • better applied knowledge about competitors, clients and stakeholders • faster, more effective development, production, implementation and delivery of new products, processes, goods and services • better strategic planning • better policy making
Policies and procedures relevant to knowledge management may cover:	• accreditation, licence, patent and copyright • best practice • benchmarking • consultation, participation, communication and reporting (written and verbal) • documentation • data collection, storage and retrieval • planning • privacy and confidentiality • quality • staff, professional development, training and coaching and mentoring • standards (Australian and international) • work organisation
Current and past corporate strategies, plans and activities include:	• all current formal and informal methods and techniques of managing knowledge, including its: – collection, capturing, creation and acquisition – organisation, cataloguing and classification – storage and retrieval – availability, sharing and dissemination – application to work and use
Stakeholders include:	• clients and customers • employee representatives • industry, professional and trade associations • regulatory bodies and authorities • sponsors • tenderers, suppliers and contractors

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	• standard setting bodies • unions
Outcomes include:	• vision • aims • goals and objectives • targets
Performance measures and systems include:	• performance objectives • key performance indicators • performance standards (including codes of conduct) • qualitative or quantitative mechanisms to measure individual performance • other systems and measures to assess how, when, where and why outcomes are being achieved
Specialist personnel include:	• knowledge management consultants • information and communication technology (ICT) consultants • trainers and assessors
Feasibility includes:	• analysis of costs and benefits • assessment of strengths, weaknesses and capabilities of own organisation • assessment of whether system aims and objectives can be achieved within the scope • assessment of ultimate usefulness of the system to the organisation • feasibility of implementing the system • assessment of whether similarly-useful results can be obtained by other means
Policies and procedures for knowledge management system cover:	• selecting, maintaining and disposing of knowledge in the system, including removing out-of-date, inaccurate and no-longer-relevant content • ensuring accuracy and relevance of knowledge input into the system • sharing of knowledge in the system • complying with legislative requirements (such as privacy, confidentiality and defamation requirements) and other policies and procedures • mechanism, format and style of input to system • permissions for input • content guidelines

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Organisational change processes may include:

- paper-based or electronic information (including intranet) relating to policies, guidelines, procedures for knowledge management
- information sessions, briefings, training programs
- coaching and mentoring arrangements
- help desks and identification and communication of 'organisational experts' to assist other employees with implementation issues
- written promotional material

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that they have planned, had approved and implemented a knowledge management system that meets current industry standards. Evidence will include the needs and issues assessment, the mapping of current and past knowledge management activities, documentation of the planned system, and evidence of implementation.

Specific Evidence Requirements

Required knowledge and understanding include:

- legislation, codes of practice and national standards:
  - privacy and confidentiality legislation
  - freedom of information legislation
  - *Australian Standard HB 275–2001 Knowledge Management – A framework for succeeding in the knowledge era*
- organisational policies and procedures, for example:
  - corporate strategies
  - records management
  - information management
  - customer service
  - commercial confidentiality
- existing data, information and knowledge management system of the organisation
- relevant and current industry best practice
- information technology and communication systems in the organisation

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Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- written communication skills including policy development skills
- verbal communication skills required for consultation and negotiation
- research skills
- budgeting skills
- attributes
  - persuasiveness
  - systematic thinking

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks
The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (3)	• communicating in writing to document and implement system plan • communicating verbally associated with consultation, negotiation and implementation of the system
Collecting, analysing and organising information (3)	• using high-level research skills to develop system
Planning and organising activities (3)	• planning process to develop and gain approval for the system
Working in a team (3)	• working across whole of organisation including management to gain approval for system and its implementation
Using mathematical ideas and techniques (2)	• using numerical calculation skills to plan budget for system
Solving problems (2)	• solving problems arising in development and implementation of the system
Using technology (1)	• using computer software in the planning process
Innovation skills (1)	• using innovative methods to identify knowledge management needs for the organisation

Products that could be used as

- assessment of needs and issues

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evidence include:	• completed knowledge management system plan
Processes that could be used as evidence include:	• how need for system was identified • how system was scoped from needs and issues assessment • how approval was gained for system plan • how system was implemented
Resource implications for assessment include:	• access to all required organisational documentation and personnel
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • evidence of the design and implementation of a knowledge management system for an organisation over a period of time or a simulated situation
Integrated competency assessment means:	• that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant units in areas of knowledge management, strategic management, project management, record keeping, business management, frontline management, other training packages (e.g. Museum and Library/Information Services), and human resource management

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BSBMGT613A Review and improve a knowledge management system

Unit Descriptor

This unit specifies the outcomes required to formally evaluate and improve an established knowledge management system within an organisation, to maintain the quality of content and identify and implement improvements.

Competency Field

Business management services

Domain

Strategic management

Application of the Competency

The unit does not apply to the roles of data management (the management of systems to record numbers, characters or other raw data) or information management (the management of records, forms, very basic reports, correspondence or other information). It applies to the review and improvement of a system that sits above data and information to convert them into knowledge, and applies that knowledge to the organisation's work.

Accordingly, this unit is for people who are not necessarily specialists in information and communications technology, records management, public relations or training, but who have knowledge management responsibilities as part of a management role.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Plan to evaluate a knowledge management system	1.1 Evaluation criteria for a *knowledge management system* are developed in consultation with *relevant personnel* and *stakeholders* 1.2 Human, technical, financial and other resources required for the evaluation are identified and secured 1.3 *Survey instruments* for the evaluation are developed
2. Evaluate a knowledge management system	2.1 Personnel are trained to collect high-quality *data* 2.2 Processes to conduct the evaluation are planned and facilitated 2.3 Results of the evaluation are collated and analysed 2.4 *System enhancements* are recommended
3. Plan to enhance a knowledge management system	3.1 Relevant personnel and stakeholders are consulted to identify additional system enhancements 3.2 Plans to enhance system's content, technical features and procedures are developed

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	3.3 *Human, technical and financial impacts* of the proposed enhancements are quantified
	3.4 Approval for enhancement plans is obtained
4. Implement enhancements to a knowledge management system	4.1 *Communication processes* to inform relevant personnel about evaluation outcomes are facilitated
	4.2 Enhancement plans are implemented

▪

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Knowledge management includes:	• the whole range of strategies, methods, activities and techniques used formally and informally by individuals and the organisation to identify, collect, organise, store, retrieve, analyse, share and apply knowledge to the work of the organisation
A knowledge management system is:	• a planned and implemented system comprising policies, protocols, procedures and practices to manage knowledge within the organisation and among relevant stakeholders
Relevant personnel may include:	• owners • managers, leaders, supervisors and coordinators • staff, team members and colleagues • other system users within organisation
Stakeholders may include:	• clients and customers • employee representatives • industry, professional and trade associations • regulatory bodies and authorities • sponsors • tenderers, suppliers and contractors • unions

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Survey instruments may include:	• one-on-one and group interviews • questionnaires • user surveys • workshops • feedback sheets from users
Data may include:	• quantitative and qualitative data • system usage statistics • statistics about input and output of knowledge • data about changes made in content of system since implementation • data about currency, relevance and accuracy of content
System enhancements may include:	• revised policies, guidelines, protocols, procedures and practices • expansion of system coverage to other areas of the organisation
Human, technical and financial impacts may include:	• personnel dedicated to system management • changed personnel workload allocation • software and hardware requirements • budgetary considerations
Communication processes may include:	• paper-based or electronic (including intranet) information • information sessions, briefings, training programs and workshops

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that they have planned and undertaken a formal evaluation of an established knowledge management system, and arranged and implemented enhancements identified through the evaluation.

Specific Evidence Requirements

Required knowledge and understanding include:	• legislation, codes of practice and national standards, for example:

  - privacy and confidentiality legislation
  - freedom of information legislation
  - Australian Standard HB 275–2001 Knowledge Management – A framework for succeeding in the knowledge era
- organisational policies and procedure, for example:
  - records management
  - information management
  - customer service
  - commercial confidentiality
- existing data, information and knowledge management system in the organisation
- current industry best practice in knowledge management
- information technology and communication systems across organisation
- evaluation techniques and methodologies

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- evaluation and analysis skills
- communication skills required for consultations
- attributes:
  - thoroughness
  - openness to change

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (3)	• communicating in writing to document evaluation process and outcomes • communicating verbally associated with consultation, negotiation and implementation of enhancements
Collecting, analysing and organising information (3)	• gathering and analysis of evaluation data

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Planning and organising activities (2)	• planning own role in evaluation and that of others assisting with or contributing to evaluation
Working in a team (2)	• working across organisation with others assisting with or contributing to evaluation
Using mathematical ideas and techniques (2)	• using numerical calculation skills to determine costs associated with proposed enhancements to system
Solving problems (2)	• addressing issues and problems arising during evaluation process
Using technology (1)	• using required computer software • using calculators and electronic aids to calculation
Innovation skills (2)	• implementing approved enhancements to system resulting from evaluation
Products that could be used as evidence include:	• evaluation plan • evaluation instruments • data gathered during evaluation • notes made during analysis of data gathered • recommended enhancements to system • action plan to implement approved enhancements to system
Processes that could be used as evidence include:	• how evaluation methodology and tools were selected • how data was gathered and analysed • how recommendations from analysis were justified by available data • how approval was gained for proposed enhancements • how approved enhancements were implemented
Resource implications for assessment include:	• access to system • access to workplace documentation
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • evidence of the formal evaluation of a knowledge management system and of approval and implementation of enhancements for an organisation over a period of time or a simulated situation

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Integrated competency assessment means:	• that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant units in areas of knowledge management, strategic management, project management, record keeping, business management, frontline management, other training packages (e.g. Museum and Library/Information Services), and human resource management

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BSBMGT614A Develop and implement diversity policy

Unit Descriptor

This unit specifies the outcomes required to research diversity, draft policy, plan for implementation, and implement diversity policy.

Competency Field

Business management services

Domain

Strategic management

Application of the Competency

This unit covers the cycle of policy development with a specific focus on diversity and its importance to organisational activity.

The policy takes a whole-of-organisation approach and sees diversity as an asset to the organisation.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Research diversity	1.1 Existing practices and *information* are analysed in relation to *diversity*
	1.2 Potential benefits of diversity are identified and analysed in relation to *business objectives*
	1.3 *Key stakeholders* are consulted about their requirements for a diversity policy
	1.4 Diversity policies from similar organisations are accessed and reviewed for relevance to organisation
2. Draft policy and plan for implementation	2.1 *Diversity policy* is drafted
	2.2 *Action plans* are developed for policy
	2.3 Key stakeholders are consulted for feedback on draft policy and action plans
	2.4 Relationships and links with other related policies are determined
	2.5 Policy is revised for implementation
3. Implement diversity policy	3.1 Policy is explained and interpreted to key stakeholders
	3.2 Policy is promoted across the organisation through a range of *communication channels*
	3.3 Intended and unintended impacts are identified

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	3.4 Tools, benchmarks and other indicators are developed for planning and measuring impact
	3.5 Business activities, team plans and staff performance are monitored to ensure that diversity policy is effectively implemented
4. Review diversity policy	4.1 Information about diversity, the policy and its implementation is gathered and analysed
	4.2 Key stakeholders are consulted to provide feedback on the policy
	4.3 Recommendations for changes to the policy are developed and approved
	4.4 Policy is refined

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Information may include*:*	• statistical data • stakeholder opinions • customer analysis and feedback • complaints and grievances e.g. sexual harassment, racial discrimination • equal opportunity targets • recruitment patterns
Diversity includes differences in:	• age • belief systems and values • culture • expertise, experience and working styles • gender • interpersonal style • interests • language, literacy and numeracy • physical differences

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- politics
- race
- religion
- sexual orientation
- thinking and learning styles

Business objectives may include:

- business goals and plans
- future directions statements
- vision or mission statements

Key stakeholders may include:

- customers and clients
- organisation executives
- heads of business units
- managers and supervisors
- staff working in a range of job roles and functions

Diversity policy may include:

- benefits of recognising diversity
- reasonable adjustments
- key diversity issues for the organisation
- organisational vision and purpose about diversity
- policies the organisation will commit to
- proposed action under these policies
- human resource practices under these policies

Action plans may include:

- specific actions, initiatives and tasks to be undertaken
- staffing/responsibility requirements and arrangements
- sales and distribution projections
- resource requirements
- promotion strategies
- financial plans
- timelines
- risk management issues and strategies

Communication channels may include:

- internet and intranet
- posters, leaflets and fliers
- presentations and speeches
- face-to-face meetings
- inclusion in training events

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Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that they can develop and implement a diversity policy for their organisation, based on their understanding of the organisation's goals and how these benefit from diversity. The person must be able to engender support for the policy and see that the policy is effectively integrated into business practices.

Specific Evidence Requirements

Required knowledge and understanding include:

- productive diversity:
  - contemporary theory about diversity and its potential contribution to business advantage
- legislation, codes of practice and national standards, for example:
  - Commonwealth Human Rights and Equal Opportunity Act
  - Commonwealth Racial Discrimination Act/s
  - Commonwealth Sex Discrimination Act
  - Commonwealth Disability Discrimination Act
  - relevant state/territory legislation
- equal opportunity theory
- knowledge of diversity within the community and business environment:
  - cultures
  - beliefs
  - traditions and practices
- knowledge of the business and its working:
  - familiarity with structure, roles and responsibilities
  - business plans and strategic direction
  - issues and problems that can be linked to diversity

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Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- interpersonal skills:
  - ability to consult and negotiate with people at all levels
  - ability to present ideas for change and foster support for them
- high-level research, analysis and writing skills
- planning and organising skills

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (3)	• explaining and promoting importance of diversity and fostering support • writing to provide detail and information to key stakeholders and shape policy
Collecting, analysing and organising information (3)	• obtaining and analysing data and work practices
Planning and organising activities (2)	• developing and monitoring a schedule for implementation of policy
Using mathematical ideas and techniques (1)	• interpreting relevant statistics and set appropriate targets
Solving problems (–)	• not applicable
Using technology (1)	• using word processing software for document production • using assistive technologies, where appropriate
Innovation skills (2)	• changing and shaping business direction through diversity practices

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Products that could be used as evidence include:	• copies of draft or endorsed policies • documents recording evidence of consultations • correspondence promoting or explaining purpose of policy • actions plans • training notes or session outlines • website text or emails
Processes that could be used as evidence include:	• how stakeholders were briefed and consulted to draft the diversity policy • how the policy was explained to stakeholders, and implemented into organisational plans and operations
Resource implications for assessment include:	• copies of relevant legislation • copies of organisational policies, procedures and plans
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • at least one example of a diversity policy developed and implemented, including action plan(s) and initiatives • that assessment may be either through simulated project-based activity or actual activities developed and implemented
Integrated competency assessment means:	• that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant business policy and planning units

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BSB01 Business Services Training Package

Frontline Management Competency Standards

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BSBFLM303B Contribute to effective workplace relationships

Unit Descriptor

This unit specifies the outcomes required to gather information and maintain effective working relationships and networks, with particular regard to communication and representation.

Competency Field

Business management services

Domain

Frontline management

Application of the Competency

This unit replaces BSBFLM303A Contribute to effective workplace relationships.

Frontline managers have a key role in contributing to efficient and effective work teams within the context of the organisation. They play a prominent part in motivating, mentoring, coaching and developing team cohesion through providing leadership for the team and forming the bridge between the management of the organisation and the team members.

At this level, work will normally be carried out within known routines, methods and procedures which require the exercise of some discretion and judgement.

This unit is related to BSBFLM403B Implement effective workplace relationships.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Seek, receive and communicate information and ideas	1.1 *Information* associated with the achievement of work responsibilities is collected from appropriate *sources* 1.2 Ideas and information are communicated in a manner which is appropriate and sensitive to the cultural and social *diversity* of the audience and any special needs 1.3 Contributions from internal and external sources are sought and valued in developing and refining new ideas and approaches within organisational processes 1.4 *Consultation process* allows employees to contribute to issues related to their work, and the outcomes of consultation are promptly made known to the work team

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	1.5 Issues raised are dealt with and resolved promptly or referred to *relevant personnel*
2. Encourage trust and confidence	2.1 People are treated with integrity, respect and empathy
	2.2 Effective relationships are encouraged within the framework of *the organisation's social, ethical and business standards*
	2.3 Trust and confidence of *colleagues, customers and suppliers* is gained and maintained through competent performance
	2.4 Interpersonal styles and methods are adjusted to the organisation's social and cultural environment
3. Identify and use networks and relationships	3.1 *Workplace networks* are identified and used to help build relationships
	3.2 Value of networks and other work relationships is recognised in providing benefits for the team and the organisation
4. Contribute to positive outcomes	4.1 Difficulties are identified and action is taken within own level of responsibility to rectify the situation according to organisational and legal requirements
	4.2 Colleagues are supported in resolving work difficulties
	4.3 *Workplace outcomes* are regularly reviewed and improved in consultation with relevant personnel
	4.4 *Poor work performance* is identified and action is taken within own level of responsibility according to organisational policies
	4.5 Conflict is dealt with constructively within the organisation's established processes

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace which may include**:**

- award and enterprise agreements and relevant industrial instruments
- relevant legislation from all levels of government that affects business operation, especially in regard to occupational health and safety (OHS) and environmental issues, equal opportunity, industrial relations and anti-discrimination
- relevant industry codes of practice

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OHS considerations may include:	• provision of information about OHS legislative requirements, guidelines and the organisation's OHS policies, procedures and programs • changes to work practices, procedures and the working environment which impact on OHS • organisation's responsibilities to customers and suppliers
Information may be:	• data appropriate to work roles and organisational policies that is shared and retrieved in writing or verbally, electronically or manually such as: - policies and procedures - planning and organisational documents including the outcomes of continuous improvement and quality assurance - marketing and customer-related data - archived, filed and historical background data - individual and team performance data
Sources may be:	• internal such as supervisors, managers, peers, policies and procedures, workplace documents • external such as external customers, web based resources, reports
Diversity may include:	• social, cultural and other needs that require a range of strategies and approaches including adjusting communication
Consultation process may include:	• opportunity for employees to contribute ideas and information • feedback to the work team and relevant personnel in relation to outcomes of the consultation process
Relevant personnel may include:	• managers • supervisors • other staff/employees • union representatives/groups • OHS committees and OHS representatives • other people with specialist responsibilities
The organisation's social, ethical and business standards may refer to:	• written standards such as those expressed in: - vision and mission statements - policies - code of workplace conduct/behaviour - dress code - statement of workplace values

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	• implied standards such as honesty and respect relative to the organisation culture and generally accepted within the wider community • standards expressed in legislation and regulations such as anti-discrimination legislation • rewards and recognition for high performing staff
Colleagues, customers and suppliers may include:	• team members • employees at the same level and more senior managers • people from a wide variety of social, cultural and ethnic backgrounds • both internal and external contacts
Workplace networks may be:	• internal and/or external • informal or formal and with individuals or groups • structured or unstructured arrangements
Workplace outcomes may include:	• performance of the work team • OHS processes and procedures
Poor work performance may include:	• that of self or the work team or it may extend to the organisation as a whole

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that they are able to gather information, communicate with relevant personnel, and establish and maintain positive work relationships. They must be able to develop trust and confidence within the work team and resolve problems and conflicts effectively and efficiently.

Specific Evidence Requirements

Required knowledge and understanding include:	• 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

- a general understanding of the principles and techniques associated with relationship management:
  - developing trust and confidence
  - behaving consistently in work relationships
  - identifying the cultural and social environment
  - identifying and assessing interpersonal styles
  - establishing networks
  - identifying and resolving problems
  - handling conflict
  - managing poor work performance
  - monitoring and improving work relationships
  - using anti-discrimination/bias strategies and making contributions

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities
- relationship management and communication skills to:
  - interpret information from a variety of people
  - respond to unexpected demands from a range of people
  - gain the trust and confidence of colleagues
  - deal with people openly and fairly
  - forge effective relationships with internal and/or external people
- functional literacy skills to access and use workplace information
- coaching and mentoring skills to provide support to colleagues

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks.

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (2)	• ensuring that appropriate work based information is shared with individuals and members of the work team and that lines of communication are maintained with all stakeholders

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Collecting, analysing and organising information (2)	• supporting work responsibilities and assisting in day-to-day planning
Planning and organising activities (2)	• building networks and contributing to positive outcomes
Working in a team (2)	• supporting and developing individual and team performance
Using mathematical ideas and techniques (1)	• using these to assist in improving individual and team performance
Solving problems (2)	• aiding decision making and conflict situations
Using technology (1)	• assisting in researching information appropriate to individual and team development
Innovation skills (1)	• developing networks and building team relationships
Products that could be used as evidence include:	• documentation produced when working in a team, and with networks, such as: - OHS records, including records of consultation - work plans and schedules - identified changes to work operations as suggested by own review of work - identified networks and contacts
Processes that could be used as evidence include:	• how information was collected and accessed • how policies were communicated, and contributions sought and used to develop new ideas and approaches • how the organisation's social and ethical standards were used within workplace relationships • how trust and confidence was developed and maintained • how interpersonal styles and methods were adjusted to the organisation's social and cultural environment • how relationships were developed • how short term planning and implementation was conducted • how difficulties were addressed and solutions found • how colleagues were supported to resolve work difficulties • examples of how poor work performance and conflict was managed
Resource implications for assessment include:	• access by the learner and trainer to appropriate documentation and resources normally used in the workplace

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Validity and sufficiency of evidence requires:	• that this unit can be assessed in the workplace or in a closely simulated work environment • that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • that examples of actions taken by the candidate to contribute to effective workplace relationships are provided
Integrated competency assessment means:	• that this unit should be assessed with other frontline management units taken as part of this qualification as applicable to the candidate's leadership role in a work team, and as part of an integrated assessment activity

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BSBFLM305B Support operational plan

Unit Descriptor

This unit specifies the outcomes required to provide support for operational practices and procedures within the organisation's productivity and profitability plans. This includes contributing to the operational plan, assisting in recruiting employees and acquiring resources, and monitoring and adjusting operational performance.

Competency Field

Business management services

Domain

Frontline management

Application of the Competency

This unit replaces BSBFLM305A Support operational plan.

Frontline managers are actively engaged in planning activities to achieve the measurable, stated objectives of the team and the organisation. This key role is carried out to provide safe, efficient and effective products and services to customer satisfaction within the organisation's productivity and profitability plans.

At this level, work will normally be carried out within known routines, methods and procedures, and may also involve a number of complex or non-routine activities that require some discretion and judgement.

This unit is related to BSBFLM405B Implement operational plan. Consider co-assessment with BSBFLM303B Contribute to effective workplace relationships, BSBFLM306B Provide workplace information and resourcing plans, BSBFLM312A Contribute to team effectiveness, BSBCMN311A Maintain workplace safety and BSBFLM309B Support continuous improvement systems and processes.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Contribute to implementation of operational plan	1.1 Details of *resource requirements* are collected, recorded and reported to *relevant personnel* 1.2 Support of *operational plan* contributes to the achievement of the organisation's performance and business plan 1.3 *Key performance indicators* are identified and used to measure own and work team's performance 1.4 *Contingency planning* is undertaken as required 1.5 The development and presentation of proposals for resource requirements is supported as required

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2. Assist in recruiting employees and acquiring resources	2.1 Assistance with employee recruitment and/or induction within *the organisation's policies and practices* is provided as required
	2.2 Physical resources and services are acquired according to the organisation's policies, practices and procedures and in consultation with relevant personnel
3. Support operations	3.1 *Performance systems and processes* are identified and used to assess progress in achieving team plans and targets
	3.2 Short-term budgets, targets and performance results are identified and compared to actual productivity and performance
	3.3 Unsatisfactory performance is identified and reported to relevant personnel, to enable action to be taken to rectify the situation
	3.4 Coaching is provided to support individuals and teams to use resources effectively, economically and safely
	3.5 *Consultation processes* for the development and/or variation of the operational plan are supported as required
	3.6 Recommendations for variation to operational plans are presented to relevant personnel
	3.7 *Systems, procedures and records* associated with performance are followed in accordance with the organisation's requirements

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace may include**:**

- award and enterprise agreements and relevant industrial instruments
- relevant legislation from all levels of government that affects business operation, especially in regard to occupational health and safety (OHS) and environmental issues, equal opportunity, industrial relations and anti-discrimination
- relevant industry codes of practice

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OHS considerations may include:	• provision of information about OHS legislative requirements, guidelines and the organisation's OHS policies, procedures and programs • consideration of OHS requirements in the planning process • inclusion of OHS key performance indicators (KPIs) • participation in the regular update of OHS systems and procedures • dissemination of organisation's procedures for dealing with hazardous events
Resource requirements may include:	• supply of resources • stock requirements and requisitions • purchasing or ordering of goods
Relevant personnel may include:	• managers • supervisors • other employees • colleagues and specialist resource managers • OHS committees and other people with specialist responsibilities • unions/employee groups
Operational plan may include:	• tactical plans developed by the department or section to detail product and service performance • organisational plans
Key performance indicators may refer to:	• measures for monitoring or evaluating the efficiency or effectiveness of a system, and which may be used to demonstrate accountability and identify areas for improvements
Contingency planning may refer to:	• rental, hire purchase or alternative means of procurement of required materials, equipment and stock • contracting out or outsourcing human resource and other functions or tasks • restructuring of organisation to reduce labour costs • strategies for reducing costs, wastage, stock or consumables • diversification of outcomes • recycling and re-use • finding cheaper or lower quality raw materials and consumables • seeking further funding • increasing sales or production

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	• risk identification, assessment and management processes • succession planning
The organisation's policies and practices may include:	• those organisational guidelines which govern and prescribe operational functions, such as the acquisition and management of human and physical resources • Standard Operating Procedures • undocumented practices in line with organisational operations • organisational culture
Performance systems and processes may be:	• formal or informal processes within the organisation, such as: - Key Performance Indicators (KPIs) - specified work outcomes - individual and team work plans - feedback arrangements • informal systems used in the place of existing organisation-wide systems
Consultation processes may refer to:	• meetings, interviews, brainstorming sessions, email/intranet communications, newsletters or other processes and devices which ensure that all employees have the opportunity to contribute to team and individual operational plans • mechanisms used to provide feedback to the work team in relation to outcomes of consultation
Systems, procedures and records may include:	• individual and team performance plans • organisational policies and procedures relative to performance • databases and other recording mechanisms

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this standard must be able to provide evidence that they are able to support an operational plan. This will include monitoring and adjusting operational performance, producing short-term plans for the department or section, planning and acquiring resources and providing reports on performance as required.

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Specific Evidence Requirements

Required knowledge and understanding include:

- 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
- general understanding of the principles and techniques of:
  - short-term operational scheduling
  - physical resources and services acquisition procedures and/or systems
  - budget and performance figures interpretation
  - performance monitoring within defined job role
  - performance reporting
  - problem identification and resolution
  - alternative approaches to improving resource usage and eliminating resource inefficiencies and waste within defined job role
  - support for individuals and teams who have difficulty in performing to the required standard

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities
- functional literacy skills to access and use workplace information
- skills to:
  - maintain a safe workplace and environment
  - access and use feedback to improve operational performance
  - prepare recommendations to improve operations
  - access and use established systems and processes
- coaching and mentoring skills to provide support to colleagues

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Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks.
The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (2)	• sharing information with members of the work team about implementing and monitoring the operational plan
Collecting, analysing and organising information (2)	• acquiring information for monitoring and reporting purposes
Planning and organising activities (2)	• assisting in planning resource acquisition and usage including human resources, risk management and contingency planning
Working in a team (2)	• achieving planning outcomes, especially in regard to team effectiveness
Using mathematical ideas and techniques (1)	• carrying out calculations associated with resource usage • analysing and monitoring budget and financial plans
Solving problems (2)	• monitoring and implementing risk management procedures and contingency plans • addressing unsatisfactory performance in all areas of the operation
Using technology (1)	• assisting in the management of information to achieve planned outcomes
Innovation skills (2)	• creating innovative methods to achieve planned outcomes

Products that could be used as evidence include:

- documentation produced while working with the operational plan, such as:
  - suggestions for variations to the operational plan
  - rosters and staff allocation
  - short-term resource acquisition planning
  - actions taken to address day-to-day resource shortfalls
  - monitoring of financial plans and budgets
  - contingency planning
  - risk management plans
  - learning and development plans for team members

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- materials developed for coaching
- induction programs conducted
- actions taken to acknowledge poor, unsafe or excellent performance
- actions taken to address issues and problems within work team
- suggestions and input into management decisions related to the operational plan
- records of people management lessons learned

Processes that could be used as evidence include:

- how resource allocation has been managed
- how work was allocated within the work team and the rationale used for such allocations
- how financial plans and budgets were formulated at operational level
- how the operational plan was managed
- how team members were guided and supported in performing their role including induction process for new team members
- how individual learning and development pathways were developed
- how performance management system was implemented within work team
- how problems and issues within the work team were addressed
- how input and advice was provided to management in relation to human resource management of the work team
- how own people management processes were reviewed and evaluated, and improvements identified, reported and acted upon

Resource implications for assessment include:

- access by the learner and trainer to appropriate documentation and resources normally used in the workplace

Validity and sufficiency of evidence requires:

- that this unit can be assessed in the workplace or in a closely simulated work environment
- that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment
- that examples of actions taken by the candidate to support the operational plan are provided

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Integrated competency assessment means:	• that this unit should be assessed with other frontline management units taken as part of this qualification as applicable to the candidate's leadership role in a work team, and as part of an integrated assessment activity

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BSBFLM306B Provide workplace information and resourcing plans

Unit Descriptor

This unit specifies the outcomes required to support the information management system. It involves the identification, acquisition, initial analysis and use of appropriate workplace information.

Competency Field

Business management services

Domain

Frontline management

Application of the Competency

This unit replaces BSBFLM306A Provide workplace information and resourcing plans.

Frontline managers, in supporting the processes of identifying, acquiring, analysing and using appropriate information, play a significant part in the organisation's effectiveness.

At this level, work will normally be carried out within known routines, methods and procedures, and may also involve a number of complex or non-routine activities that require some discretion and judgement.

This unit is related to BSBFLM406B Implement workplace information system. Consider co-assessment with BSBFLM305B Support operational plan, BSBFLM312A Contribute to team effectiveness, BSBCMN310A Deliver and monitor a service to customers, BSBCMN311A Maintain workplace safety, and BSBFLM309B Support continuous improvement systems and processes.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Locate relevant information	1.1 *Information* required by teams is located 1.2 Information held by the organisation is acquired and reviewed according to organisational procedures 1.3 *Plans and procedures* are carried out to obtain information which is not immediately available/accessible
2. Collect and report information	2.1 Collection of information is timely, and is adequate and relevant to the needs of teams 2.2 Information acquired is in a format suitable for analysis, interpretation and dissemination

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	2.3 Information is accessed to identify and report relevant trends and developments to *relevant personnel*, within the limits of own role
3. Use information systems	3.1 *Management information systems* are used effectively to store and retrieve data
	3.2 *Technology* available in the work area is used to manage information effectively
	3.3 Recommendations for improving the information system are reported to *designated persons and/or groups*
4. Support the preparation of business plan and/or budgets	4.1 The work team is involved in the initial preparation of *business plans and/or budgets* in a way which uses their contribution effectively and contributes to gaining support for the outcomes
	4.2 Information to support the preparation of business plans and/or budgets is presented and recorded in accordance with the organisation's guidelines and requirements
	4.3 *Contingency plans* are followed in the event that alternative action is required
5. Support the preparation of resource proposals	5.1 *Resource planning data* is collected in consultation with *colleagues* as required
	5.2 Estimates of resource needs and use are reported as required according to organisational requirements
	5.3 *Resource requirements* are processed within limits of own role

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace may include:	• award and enterprise agreements and relevant industrial instruments • relevant legislation from all levels of government that affects business operation, especially in regard to occupational health and safety (OHS) and environmental issues, equal opportunity, industrial relations, anti-discrimination and record keeping standards and legislation • relevant industry codes of practice
OHS considerations may include:	• provision of information about OHS legislative requirements and the organisation's OHS policies, procedures and programs • employee access to OHS information

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	• consultation with relevant key personnel on OHS issues according to organisational procedures • inclusion of OHS in business plans • inclusion of OHS in resource proposals • consideration of OHS requirements in the planning process • training of all employees in health and safety procedures • participation in the regular update of OHS systems and procedures • changes to work practices, procedures and the working environment which impact on OHS
Information may include:	• data shared and retrieved in various forms such as in writing or verbally, electronically or manually • policies and procedures • planning and organisational documents • organisational performance data • financial and contractual data • marketing and customer-related data • continuous improvement and quality assurance data • archived, filed and historical background data • data available internally or externally
Plans and procedures may include:	• an informal document outlining a series of planned actions or steps • the organisation's processes and procedures used to obtain information, with consideration given to meeting legislative requirements, such as privacy, anti-discrimination • organisational procedures such as Standard Operating Procedures, record keeping procedures • action plans, project plans or more formal planning tools in line with organisational procedures and levels of own responsibility
Relevant personnel may include:	• managers • supervisors • other staff/employees • colleagues and specialist resource managers • OHS committees and OHS representatives • other people with specialist responsibilities

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Management information systems may be:	• the entire infrastructure of an organisation, including personnel, and the components for the collection, processing, storage, transmission, display, dissemination, and disposition of information
Technology may include:	• computerised systems and software such as databases, project management and word-processing • telecommunications devices • other technology available in the workplace and used to carry out work roles and responsibilities
Designated persons or groups may include:	• the frontline manager's supervisors or others with management roles and responsibilities concerning information systems • other work groups or teams whose work will be affected by the system • groups designated in workplace policies and procedures • other stakeholders accessing the information system such as customers and service providers
Business plans and/or budgets may refer to:	• long or short term budgets/plans relative to own responsibilities • operational plans • spreadsheet-based financial projections • cash flow projections • targets or Key Performance Indicators (KPIs) for production, productivity, wastage, sales, income and expenditure
Contingency plans will usually be developed by others and may include:	• rental, hire purchase or alternative means of procurement of required materials, equipment and stock • contracting out or outsourcing human resource and other functions or tasks • restructuring of organisation to reduce labour costs • strategies for reducing costs, wastage, stock or consumables • diversification of outcomes • recycling and re-use • finding cheaper or lower quality raw materials and consumables • seeking further funding • increasing sales or production • risk identification, assessment and management processes

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Resource planning data may relate to:	• people • power/energy • information • finance • buildings/facilities • equipment/technology • time • targets or Key Performance Indicators (KPIs) for production, productivity, wastage, sales, income and expenditure
Colleagues may include:	• team members • employees at the same level or more senior managers • OHS representatives • people from a wide variety of social, cultural and ethnic backgrounds and physical and mental abilities
Resource requirements may include:	• supply of resources • stock requirements/requisitions • purchasing or ordering of goods

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this standard must be able to provide evidence that they are able to support the workplace information system by accessing and using workplace information to facilitate business operations, and providing support for the preparation of information for financial and resource plans and proposals.

Specific Evidence Requirements

Required knowledge and understanding include:	• 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 • a general understanding of: - workplace information systems - operational plans and budgets - resource proposals • the basic financial concepts in operational plans and budgets

	• the methods to gain efficiencies in operational resource management
Required skills and attributes include:	• ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities • functional literacy skills to access and use workplace information • communication and research skills covering information collection, analysis and reporting • skills to improve information usage in decision making • information preparation skills • coaching and mentoring skills to provide support to colleagues • technical skills to extract and input information
Key competencies or generic skills relevant to this unit	The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit: Level (1) represents the competence to undertake tasks effectively Level (2) represents the competence to manage tasks Level (3) represents the competence to use concepts for evaluating and reshaping tasks. The bulleted points provide examples of how the key competencies can be applied for this unit.
Communicating ideas and information (2)	• communicating with members of work team and others to support the workplace information system
Collecting, analysing and organising information (2)	• collecting resource planning data • using management information system to store and retrieve data
Planning and organising activities (2)	• preparing business plans and budgets to facilitate workplace operations
Working in a team (2)	• involving the work team in planning and budget preparation
Using mathematical ideas and techniques (1)	• using these to aid data collection and to make budget calculations
Solving problems (2)	• using problem solving to effectively support the information management system
Using technology (1)	• using technology to assist in the management of information
Innovation skills (2)	• developing an innovative approach to using the management information system to enhance business operations

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Products that could be used as evidence include:

- documentation produced from supporting the management information system, such as:
  - contribution to organisational policies and procedures
  - contribution to procedures and policies for dealing with information management systems, and related codes of conduct
  - actions taken to address information collection, retrieval and use
  - actions taken to address methods of reporting information
  - actions taken to address internal and external information management issues
  - learning and development plans for team members
  - actions taken to address issues and problems within work team
  - materials developed for coaching
  - induction programs developed and/or delivered
  - advice and input into management decisions related to workplace information
  - records of information management lessons learned

Processes that could be used as evidence include:

- how information within the work team was located and collected
- how information held by the organisation was acquired and reviewed
- examples of procedures used to obtain information which is not readily available
- how information was collected in a suitable format, a time efficient manner and how accuracy and adequacy has been ensured
- examples of how information was used especially the utilisation of technology
- how recommendations for improvement have been encouraged
- how the work team was involved in the initial preparation of business plans and budgets
- how estimates of resource needs were planned and resource requirements processed

Resource implications for assessment include:

- access by the learner and trainer to appropriate documentation and resources normally used in the workplace

Validity and sufficiency of evidence requires:

- that this unit can be assessed in the workplace or in a closely simulated work environment

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- that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment
- that examples of actions taken by candidate to provide workplace information and resourcing plans are provided

Integrated competency assessment means:

- that this unit should be assessed with other frontline management units taken as part of this qualification as applicable to the candidate's leadership role in a work team, and as part of an integrated assessment activity

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BSBFLM309B Support continuous improvement systems and processes

Unit Descriptor

This unit specifies the outcomes required to support the organisation's continuous improvement systems and processes. Particular emphasis is on actively encouraging the team to participate in the process, on monitoring and reporting on specified outcomes and on supporting opportunities for further improvements.

Competency Field

Business management services

Domain

Frontline management

Application of the Competency

This unit replaces BSBFLM309A Support continuous improvement systems and processes.

Frontline managers have an active role in supporting continuous improvement processes in achieving the organisation's objectives. Their position, closely associated with the creation and delivery of products and services, means that they have an important responsibility in influencing the ongoing development of the organisation.

At this level, work will normally be carried out within known routines, methods and procedures, and may also involve a number of complex or non-routine activities that require some discretion and judgement.

This unit is related to BSBFLM409B Implement continuous improvement. Consider co assessment with BSBFLM305B Support operational plan, BSBFLM312A Contribute to team effectiveness, BSBCMN310A Deliver and monitor a service to customers, BSBCMN311A Maintain workplace safety, BSBCMN312A Support innovation and change, and BSBFLM311B Support a workplace learning environment.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Contribute to continuous improvement systems and processes	1.1 Team members are actively encouraged and supported to participate in decision making processes and to assume responsibility and exercise initiative
	1.2 The organisation's *continuous improvement processes* are *communicated* to individuals and teams
	1.3 Effective *mentoring and coaching* ensures that individuals/teams are able to support the organisation's continuous improvement processes

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2. Monitor and report on specified outcomes	2.1 The organisation's *systems* and *technology* are used to monitor team progress and to identify ways in which planning and operations could be improved
	2.2 *Customer service* is improved through continuous improvement techniques and processes
3. Support opportunities for further improvement	3.1 *Agreed recommendations* for improvements in achieving the business plan are communicated to team members
	3.2 Work performance is documented and used to identify opportunities for further improvement
	3.3 Records, reports and recommendations for improvement are maintained within the organisation's systems and processes

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace may include:	• award and enterprise agreements and relevant industrial instruments • relevant legislation from all levels of government that affects business operation, especially in regard to occupational health and safety (OHS) and environmental issues, equal opportunity, industrial relations and anti-discrimination • relevant industry codes of practice
OHS considerations may include:	• provision of information about OHS legislative requirements and guidelines, and the organisation's OHS policies, procedures and programs • participation in the regular update of OHS systems and procedures • implementation of the continuous improvement processes of the OHS management system • changes to work practices, procedures and the working environment which impact on OHS • organisation's responsibilities to customers and suppliers
Continuous improvement processes may include:	• policies and procedures which allow an organisation to systematically review and improve the quality of its products, services and procedures • cyclical audits and reviews of workplace, team and individual performance • seeking and considering feedback from a range of stakeholders

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	• modifications and improvements to systems, processes, services and products
	• evaluations and monitoring of effectiveness
Communicated may refer to:	• verbal, written or electronic communications
	• on-the-job mentoring and coaching
Mentoring and coaching may refer to:	• teaching another member of the team, usually focusing on a specific work task or skill
	• providing feedback, support and encouragement on a range of matters
	• providing assistance with problem solving
Systems may refer to:	• organisation policies and procedures
	• web based communication devices
	• attendance at forums, meetings
	• newsletters and reports
Technology may include:	• computerised systems and software such as databases, project management and word-processing
	• telecommunications devices
	• any other technology used to carry out work roles and responsibilities
Customer service may be:	• internal or external, to existing or new clients
	• identifying needs and priorities in delivering a service to customers
	• understanding of different levels of customer satisfaction
Agreed recommendations may be:	• identified improvements arising from the continuous improvement process
	• determined in accordance with organisational policies and procedures

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this standard must be able to provide evidence that they are able to monitor and report on specified outcomes, processes and procedures to improve performance; they must also be able to support others to implement the continuous improvement system/processes; and be able to identify and support opportunities for further improvement.

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Specific Evidence Requirements

Required knowledge and understanding include:

- 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
- general understanding of the principles and techniques of:
  - continuous improvement systems and processes
  - benchmarking
  - best practice
- the benefits of continuous improvement
- the quality approaches which the organisation may implement
- the methods that can be used in continuous improvement
- the barriers to continuous improvement
- the organisation's recording, reporting and recommendation processes to facilitate continuous improvement

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities
- functional literacy skills to access and use workplace information
- research, analysis, interpretation and reporting skills
- monitoring and evaluation skills
- communication skills to:
  - gain the commitment of individuals and teams to continuous improvement
  - deal with people openly and fairly
  - use consultation skills effectively
- skills to consolidate opportunities for improvement
- coaching and mentoring skills to provide support to colleagues

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Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks.

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (2)	• liaising with individuals and work team to improve the organisation's continuous improvement processes • communicating the organisation's continuous improvement processes
Collecting, analysing and organising information (2)	• analysing data related to progress and improvement • organising information in such a way that it is accessible to team members
Planning and organising activities (2)	• planning customer service improvements
Working in a team (2)	• obtaining team feedback on further improvement initiatives
Using mathematical ideas and techniques (1)	• completing calculations associated with work improvement
Solving problems (2)	• supporting and improving the organisation's continuous improvement processes
Using technology (1)	• using technology to monitor team progress
Innovation skills (2)	• developing an innovative approach to participation in the continuous improvement system

Products that could be used as evidence include:

- documentation produced when supporting the organisation's continuous improvement systems and processes, such as:
  - contributions to organisational policies and procedures
  - contributions to procedures and policies for dealing with continuous improvement processes, and related codes of conduct
  - actions taken to address information collection, retrieval and use in the workplace
  - actions taken to address issues and problems within work team
  - actions taken to address methods of reporting information

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- learning and development plans for team members
- materials developed for coaching, mentoring and training
- induction programs developed and/or delivered
- actions taken to address internal and external information management issues
- reviews of people management
- advice and input into management decisions related to continuous improvement
- records of people management lessons learned

Processes that could be used as evidence include:

- how team members were encouraged to participate in the decision making process
- examples of how continuous improvement processes were communicated to all stakeholders
- examples of how continuous improvement processes were supported
- how technology was used to monitor operational progress
- examples of how plans have been adjusted and communicated to all stakeholders
- how team members were informed of improvements/innovations
- how work performance was documented to aid identification of further opportunities for improvement
- how areas which have recorded improvements have been recorded

Resource implications for assessment include:

- access by the learner and trainer to appropriate documentation and resources normally used in the workplace

Validity and sufficiency of evidence requires:

- that this unit can be assessed in the workplace or in a closely simulated work environment
- that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment
- that examples of actions taken by the candidate to support continuous improvement are provided

Integrated competency assessment means:

- that this unit should be assessed with other frontline management units taken as part of this qualification, as applicable to the candidate's leadership role in a work team, and as part of an integrated assessment activity

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BSBFLM311B Support a workplace learning environment

Unit Descriptor

This unit specifies the outcomes required to effectively encourage and support a learning environment. Particular emphasis is on participation in processes to facilitate and promote learning and to monitor and improve learning performance.

Competency Field

Business management services

Domain

Frontline management

Application of the Competency

This unit replaces BSBFLM311A Support a workplace learning environment.

Frontline managers have a prominent role in encouraging and supporting the development of a learning environment in which work and learning come together.

At this level, work will normally be carried out within known routines, methods and procedures, and may also involve a number of complex or non-routine activities that require some discretion and judgement.

This unit is related to BSBCMN404A Develop teams and individuals. Consider co-assessment with BSBCMN302A Organise personal work priorities and development, BSBFLM312A Contribute to team effectiveness, BSBFLM305B Support operational plan, BSBCMN310A Deliver and monitor a service to customers, and BSBCMN311A Maintain workplace safety.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Encourage a learning environment	1.1 Workplace *learning opportunities* are encouraged and supported 1.2 *Learning plans* are implemented as an integral part of individual and team performance plans 1.3 Learning plans are implemented to reflect the *diversity of needs* and learning opportunities 1.4 Individual and team access to and participation in learning opportunities is encouraged 1.5 Effective liaison occurs with *training and development specialists* and contributes to learning opportunities which enhance individual, team and organisational performance

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2. Encourage and promote learning of team and individuals	2.1 Workplace activities are used as opportunities for learning, and team members are encouraged to share their skills and knowledge to *encourage a learning culture* within the team and organisation
	2.2 *Coaching and mentoring* is encouraged and contributes effectively to the development of workplace knowledge, skills and attitudes
	2.3 Team members are encouraged to assess own competencies, and to identify own *learning and development needs*
	2.4 The benefits of learning are shared with others in the team and organisation
	2.5 *Workplace achievement* is recognised by timely and appropriate recognition and feedback
3. Identify opportunities for improvement	3.1 Performance of individuals and teams is monitored to determine the type and extent of required work-based support
	3.2 Feedback from individuals and teams is gathered to identify opportunities for improvements for future learning arrangements
	3.3 Adjustments negotiated with training and development specialists result in improvements to the efficiency and effectiveness of learning
	3.4 Records and reports of learning are documented and maintained within the organisation's systems and procedures

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace may include:	• award and enterprise agreements and relevant industrial instruments • relevant legislation from all levels of government that affects business operation, especially in regard to occupational health and safety (OHS) and environmental issues, equal opportunity, industrial relations and anti-discrimination • relevant industry codes of practice
OHS considerations may include:	• provision of information about OHS legislative requirements, guidelines and the organisation's OHS policies, procedures and programs • training of all employees in health and safety procedures

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	• participation in the regular update of OHS systems and procedures • inclusion of OHS in learning plans • inclusion of OHS in training record • changes to work practices, procedures and the working environment which impact on OHS
Learning opportunities may include:	• structured learning activities conducted outside and within the workplace such as: - training through an RTO leading to a nationally recognised Australian Qualifications Framework (AQF) qualification or Statement of Attainment, for example through a traineeship or New Apprenticeship - accredited training through an independent organisation such as a State OHS authority • workshops • short courses • action learning • workplace learning activities, that may also contribute to a recognised credential, such as: • induction • mentoring • coaching • shadowing • exchange/rotation
Learning plans may include:	• team competencies • team roles and responsibilities • performance standards • work outputs and process • key performance indicators (KPI) • codes of conduct • OHS requirements • negotiated agreement with individual
Diversity of needs may include:	• different learning needs that relate to social, cultural and other types of workplace diversity, such as the need for varied communication styles and approaches
Training and development specialists may be:	• internal or external

Encourage a learning culture may include:	• encouraging learning and sharing of skills and knowledge across the work team and the wider organisation in order to develop competencies of team members and the team • informally supporting and recognising learning achievements and sharing success stories • promoting participation and learning opportunities • using formal processes to reward training participation in line with organisational processes
Coaching and mentoring may refer to:	• teaching another member of the team, usually focusing on a specific work task or skill • providing feedback, support and encouragement on a range of matters • providing assistance with problem solving
Learning and development needs may be met through a range of learning opportunities, and may include:	• gaps between the competencies held by the employee and the skills and knowledge required to effectively undertake workplace tasks • developmental learning, for example the learning required to progress through an organisation and take on new tasks and roles
Workplace achievement may refer to:	• achievements of set goals and performance outcomes by the work team and/or individuals

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this standard must be able to show that they are able to support the development of a learning environment. They must be able to show evidence of the ability to contribute to a learning culture within the team, identify workplace activities which facilitate learning, and negotiate learning arrangements with training and development specialists. They must also be able to provide coaching and mentoring support to team members to improve learning effectiveness.

Specific Evidence Requirements

Required knowledge and understanding include:	• 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

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- a general understanding of the principles and techniques of:
  - adult learning
  - a learning environment and learning culture
  - work based learning
  - structuring learning
  - coaching and mentoring

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities
- functional literacy skills to access and use workplace information
- skills in facilitating learning:
  - identifying learning needs
  - developing learning plans
  - selecting and using work activities to create learning opportunities
  - establishing a workplace conducive to learning
  - negotiating learning arrangements with training and development specialists
  - encouraging colleagues to share their knowledge and skills
  - evaluating the effectiveness of learning
- coaching and mentoring to support learning
- communication skills to:
  - gain the trust and confidence of colleagues
  - deal with people openly and fairly
  - use consultation skills effectively

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks.

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (2)	• liaising with stakeholders, especially members of the work team, to develop and maintain a learning environment
Collecting, analysing and organising information (2)	• assembling and distributing information about learning options

Planning and organising activities (2)	• developing learning plans • arranging learning opportunities
Working in a team (2)	• promoting the development of a learning culture within the team
Using mathematical ideas and techniques (1)	• compiling data about learning arrangements and outcomes
Solving problems (2)	• identifying and reporting difficulties with competency development and suggesting solutions
Using technology (1)	• assisting in the management of information to promote learning
Innovation skills (2)	• using creative strategies to develop a learning culture to enhance business operations

Products that could be used as evidence include:

- documentation produced from supporting a workplace learning environment, such as:
  - contribution to organisational policies and procedures
  - contributions to procedures and policies for dealing with learning systems
  - actions taken to address information collection, retrieval and analysis in the workplace
  - actions taken to address issues and problems within work team
  - actions taken to address methods of analysing information and developing and/or maintaining a learning culture
  - learning and development plans for team members
  - materials developed for coaching, mentoring and training
  - induction programs developed and/or delivered
  - actions taken to address internal and external information management issues
  - reviews of people management
  - advice and input into management decisions related to workplace learning
  - records of people management lessons learned

Processes that could be used as evidence include:

- how workplace activities and environments were organised
- how work has been allocated within work team
- examples of learning plans
- how learning plans were presented

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- how team members were encouraged to participate in learning opportunities
- how individual learning and development pathways have been offered
- how liaison with training and development specialists has occurred
- how team members were encouraged to assess own competencies and to identify own learning and development needs
- how workplace achievement has been recognised
- how input and advice has been provided to management in relation to the benefits of learning and development
- examples of actions taken by the candidate to support a workplace learning environment
- examples of how learning and development records have been documented and stored

Resource implications for assessment include:

- access by the learner and trainer to appropriate documentation and resources normally used in the workplace

Validity and sufficiency of evidence requires:

- that this unit can be assessed in the workplace or in a closely simulated work environment
- that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment
- that examples of actions taken by candidate to support a workplace learning environment are provided

Integrated competency assessment means:

- that this unit should be assessed with other frontline management units taken as part of this qualification, as applicable to the candidate's leadership role in a work team, and as part of an integrated assessment activity

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BSBFLM312A Contribute to team effectiveness

Unit Descriptor

This specifies the outcomes required to by frontline managers to contribute to the effectiveness of the work team. It involves planning with the team to meet expected outcomes, developing team cohesion, participating in and facilitating the work team, and communicating with the management of the organisation.

Competency Field

Business management services

Domain

Frontline management

Application of the Competency

This unit replaces BSBFLM302A Support leadership in the workplace and BSBFLM304A Participate in work teams, which have been combined to create this unit.

Frontline managers have a key role in developing efficient and effective work teams within the context of the organisation. They play a prominent part in motivating, mentoring, coaching and developing team cohesion by providing leadership for the team and forming the bridge between the management of the organisation and the team members.

At this level, work will normally be carried out within known routines, methods and procedures, and may also involve a number of complex or non-routine activities that require some discretion and judgement.

This unit is related to BSBFLM412A Promote team effectiveness.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Contribute to team outcomes	1.1 *Team purpose, roles, responsibilities, goals, plans and objectives* are identified in consultation with team members
	1.2 Team members are supported in meeting expected outcomes
2. Support team cohesion	2.1 Team members are encouraged to participate in the planning, decision making and operational aspects of the work team to their level of responsibility
	2.2 Team members are encouraged and supported to take responsibility for their own work and to assist each other in undertaking required roles and responsibilities
	2.3 *Feedback* is provided to team members to encourage, value and reward team members' efforts and contributions

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	2.4 Issues, concerns and problems identified by team members are addressed or referred to *relevant persons* as required
3. Participate in work team	3.1 Team members are actively encouraged and supported to participate in team activities and communication processes and to take *responsibility for their actions*
	3.2 The team is given support to identify and resolve problems which impede its performance
	3.3 Own contribution to work team serves as a role model for others and enhances the organisation's image within the work team, the organisation and with clients/customers
4. Communicate with management	4.1 *Communication* with *line manager/management* is kept open at all times
	4.2 Information from line manager/management is communicated to the team
	4.3 *Unresolved issues* are communicated to line manager/management and are followed up to ensure action is taken in response to these matters

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace may include:	• award and enterprise agreements and relevant industrial instruments • relevant legislation from all levels of government that affects business operation, especially in regard to occupational health and safety (OHS) and environmental issues, equal opportunity, industrial relations and anti-discrimination • relevant industry codes of practice
OHS considerations may include:	• provision of information about OHS legislative requirements, guidelines and the organisation's OHS policies, procedures and programs • training of all employees in health and safety procedures • participation in the regular update of OHS systems and procedures • changes to work practices, procedures and the working environment which impact on OHS

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Team purpose, roles, responsibilities, goals, plans and objectives may include:	• goals for individuals and the work team • expected outcomes and outputs • individual and team performance plans and Key Performance Indicators (KPIs) • action plans, business plans and operational plans linked to strategic plans • OHS responsibilities
Feedback may refer to:	• communication of ideas and thoughts which focus on specific tasks, outcomes, decisions, issues or behaviours • formal/informal gatherings between team members where there is discussion on work-related matters
Relevant persons may include:	• frontline manager's direct superior or other management representatives • colleagues • designated personnel e.g. safety officer
Responsibility for their actions may involve:	• individuals and teams • individual and joint actions
Communication may include:	• verbal, written or electronic communication • face-to-face • formal/informal interaction
Line manager/management may refer to:	• frontline manager's direct superior or other management representatives
Unresolved issues may include:	• issues, concerns and tensions • problems related to work roles and responsibilities • grievances and complaints • any matters affecting workplace relationships and team cohesion

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to show that they are able to demonstrate leadership in contributing to team plans, in leading and facilitating teamwork and in actively communicating with management. They must also provide evidence that teamwork is actively promoted, supported and encouraged within the work team; and that their own performance serves as a role model for others and enhances the organisation's image within the work team, the organisation and with clients/customers.

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Specific Evidence Requirements

Required knowledge and understanding includes:

- 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
- organisational policies and procedures
- organisational goals, objectives and plans at both tactical and strategic levels
- organisational structure including organisational chart
- learning and development options available within and through organisation
- a general understanding of the principles and techniques of:
  - group dynamics and processes
  - motivation
  - planning
  - negotiation
  - individual behaviour and difference

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities
- communication skills, including listening
- basic training skills, including mentoring and coaching
- planning and organising skills
- problem solving skills
- attributes:
  - empathic
  - communicative
  - self aware
  - supportive
  - trusting
  - open
  - flexible
  - accommodating
  - initiating
  - loyal
  - fair
  - adaptable

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Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks.

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (2)	• communicating verbally to lead a team, including negotiating, training, participating in meetings, questioning and discussing • communicating in writing, including report writing
Collecting, analysing and organising information (1)	• managing information flow to and from line manager/management
Planning and organising activities (2)	• planning for own work and that of team members
Working in a team (2)	• working with team members and providing leadership to team • working with line manager/management to represent team interests
Using mathematical ideas and techniques (1)	• using calculation skills associated with data manipulation relevant to work of team, including financial data
Solving problems (2)	• applying problem solving skills as required to address problems arising in leading team
Using technology (1)	• using word processing packages, spreadsheets, databases, and other packages to produce written correspondence and reports related to operations and leadership of the team • understanding assistive technologies, as necessary
Innovation skills (1)	• developing an innovative approach to the support of team effectiveness

Products that could be used as evidence include:

- documentation produced from working in a team, such as:
  - reports
  - minutes or records of meetings
  - work journals or diaries
  - learning and development plans developed with team members
  - records of actions taken to address issues raised by team members

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Processes that could be used as evidence include:	• how communication process has been managed and examples of how consultations have taken place • examples of how team members have been supported and encouraged to meet expected outcomes • examples of processes which have been developed to facilitate team cohesion • how performance plan was communicated to team • how team members were guided and supported in performing their role including induction process for new team members • how performance management system was implemented within work team • how problems and issues within the work team were addressed • how input and advice was provided to management in relation to human resource management of the work team
Resource implications for assessment include:	• access by the learner and trainer to appropriate documentation and resources normally used in the workplace
Validity and sufficiency of evidence requires:	• that this unit can be assessed in the workplace or in a closely simulated work environment • that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • that examples of actions taken by candidate to contribute to team effectiveness are provided
Integrated competency assessment means:	• that this unit should be assessed with other frontline management units taken as part of this qualification, as applicable to the candidate's role in a work team, and as part of an integrated assessment activity

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BSBCMN302A Organise personal work priorities and development

Unit Descriptor

This unit covers the skills and knowledge required to organise own work schedules, monitor and obtain feedback on work performance, and maintain required levels of competence.

This unit is related to BSBCMN202A Organise and complete daily work tasks and BSBCMN402A Develop work priorities.

Competency Field

Common

Element	Performance Criteria
1. Organise and complete own work schedule	1.1 *Work goals and objectives* are understood, negotiated and agreed in accordance with *organisational requirements*
	1.2 Workload is assessed and prioritised to ensure completion within identified timeframes
	1.3 *Factors* affecting the achievement of work objectives are identified and incorporated into work plans
	1.4 *Business technology* is used efficiently and effectively to manage and monitor scheduling and completion of tasks
2. Monitor own work performance	2.1 Personal work performance is accurately monitored and adjusted to ensure maintenance of job quality and customer service
	2.2 *Feedback on performance* is actively sought from colleagues and clients and evaluated in the context of individual and group requirements
	2.3 Variations in the quality of service and products are routinely identified and reported in accordance with organisational requirements
3. Develop and maintain own competence level	3.1 Personal knowledge and skills are assessed against *competency standards* performance descriptions to determine development needs and priorities
	3.2 *Opportunities for improvement* are identified and planned in liaison with colleagues
	3.3 Feedback is used to identify and develop ways to improve competence within available opportunities

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Element	Performance Criteria
	3.4 New skills and opportunities to develop them are identified to achieve and maintain continuous learning
	3.5 Records and documents relating to achievements and assessments are stored and maintained in accordance with own requirements

Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

They may use legislation, codes and national standards relevant to the workplace including:	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Work goals and objectives may include:	• sales targets • reporting deadlines • production targets • budgetary targets • team participation • team and individual learning goals

Range Statement

Organisational requirements may be included in:

- quality assurance and/or procedures manuals
- goals, objectives, plans, systems and processes
- legal and organisational policy/guidelines and requirements
- business and performance plans
- access and equity principles and practice
- ethical standards
- Occupational Health and Safety policies, procedures and programs
- quality and continuous improvement processes and standards
- defined resource parameters

Factors affecting the achievement of work objectives may include:

- competing work demands
- technology/equipment breakdowns
- unforeseen incidents
- workplace hazards, risks and controls
- environmental factors such as time, weather, etc
- resource and materials availability
- budget constraints

Business technology may include:

- computers
- computer applications
- modems
- personal schedulers
- email
- internet/extranet/intranet
- photocopiers
- scanners
- facsimile machines
- printers

Feedback on performance may include:

- formal/informal performance appraisals
- obtaining feedback from supervisors and colleagues
- obtaining feedback from clients
- personal, reflective behaviour strategies
- routine organisational methods for monitoring service delivery

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Range Statement

Competency standards are standards which measure:

- all those personal and technical knowledge, skills and attitudinal aspects (competencies) required to effectively and efficiently undertake the day to day tasks and duties of the practitioner's work function

Opportunities for improvement may include:

- coaching, mentoring and/or supervision
- formal/informal learning programs
- internal/external training provision
- work experience/exchange/opportunities
- personal study
- career planning/development
- performance appraisals
- workplace skills assessment
- quality assurance assessments and recommendations
- Recognition of Prior Learning

Evidence Guide

The Evidence Guide identifies the critical aspects, underpinning knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- Preparing work plans
- Prioritising and scheduling work objectives and tasks
- Seeking and acting on feedback from clients and colleagues
- Reviewing own work performance against achievements through self-assessment
- Accessing learning opportunities to extend own personal work competencies

Underpinning Knowledge*

* At this level the learner must demonstrate some relevant theoretical knowledge.

- The 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
- Understanding the organisation's policies, plans and procedures
- Knowledge of methods to elicit, analyse and interpret feedback
- Understanding techniques to prepare personal plans

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Evidence Guide

	and establish priorities • Knowledge of the principles and techniques of goal setting, measuring performance, time management and personal assessment • Understanding processes to interpret competency standards and apply them to self • Understanding methods to identify and prioritise personal learning needs
Underpinning Skills	• Literacy skills for reading and understanding the organisation's procedures, own work goals and objectives • Proofreading and editing skills for checking own work • Planning skills to organise work priorities and arrangements • Problem solving skills to solve routine problems • Communication skills including giving and receiving constructive feedback on development needs • Technology skills including the ability to select and use technology appropriate to a task • Ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities
Resource Implications	The learner and trainer should have access to appropriate documentation and resources normally used in the workplace
Consistency of Performance	In order to achieve consistency of performance, evidence should be collected over a set period of time which is sufficient to include dealings with an appropriate range and variety of situations
Context/s of Assessment	• Competency is demonstrated by performance of all stated criteria, including paying particular attention to the critical aspects and the knowledge and skills elaborated in the Evidence Guide, and within the scope as defined by the Range Statement • Assessment must take account of the endorsed assessment guidelines in the Business Services Training Package • Assessment of performance requirements in this unit should be undertaken in an actual workplace or

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Evidence Guide

simulated environment

- Assessment should reinforce the integration of the key competencies and the Business Services Common Competencies for the particular AQF Level. Refer to the Key Competency Levels at the end of this unit

Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 2	Level 1	Level 2	Level 2	Level 1	Level 2	Level 2

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – to measure self-performance
- Communicating ideas and information – with members of the work team
- **Planning and organising activities** – for self
- **Working with teams and others** – in completing scheduled tasks
- **Using mathematical ideas and techniques** – as an aid to measure and schedule tasks
- **Solving problems** – as an aid to self-development
- **Using technology** – to manage scheduling and completion of tasks

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

BSBCMN310A Deliver and monitor a service to customers

Unit Descriptor

This unit covers the skills and knowledge required to identify customers' needs and monitor a service provided to customers.

This unit is related to BSBCMN208A Deliver a service to customers and BSBCMN410A Coordinate implementation of customer service strategies.

Competency Field

Common

Element	Performance Criteria
1. Identify customers' needs	1.1 Customers' *needs and expectations* are clarified and accurately identified using *appropriate interpersonal skills*
	1.2 *Customers'* needs are assessed for urgency to determine priorities for service delivery in accordance with *organisational requirements*
	1.3 Customers are provided with information about available choices for meeting their needs and assisted in the selection of preferred options
	1.4 Limitations in addressing customers' needs are identified and appropriate assistance is sought from *designated individuals*
2. Deliver a service to customers	2.1 Service is provided promptly to customers to meet identified needs in accordance with organisational requirements
	2.2 Appropriate rapport is established and maintained with customers to ensure completion of the delivery of a quality service.
	2.3 *Customers' complaints* are handled sensitively and courteously in accordance with organisational requirements
	2.4 Customers with *special needs* or assistance are responded to in accordance with organisational requirements
	2.5 Available *opportunities* are identified and used to promote and enhance services and products to customers
3. Monitor and report on service delivery	3.1 Customer satisfaction with service delivery is regularly reviewed using *verifiable evidence* in accordance with organisational requirements

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Element

Performance Criteria

3.2 Opportunities to enhance the quality of service and products are identified and pursued within organisational requirements

3.3 Procedural aspects of service delivery are monitored for effectiveness and suitability to customer requirements

3.4 Customer feedback is regularly sought and used to improve the provision of products and services

3.5 Decisions to modify products or services incorporate evidence of customer satisfaction and are within organisational requirements

3.6 Reports are clear, detailed and contain recommendations focused on critical aspects of service delivery

Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Legislation, codes and national standards relevant to the workplace which may include:

- award and enterprise agreements and relevant industrial instruments
- 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 industry codes of practice

Customer needs and expectations may relate to:

- advice or general information
- specific information
- further information
- making an appointment
- complaints
- purchasing organisation's products and services
- returning organisation's products and services
- accuracy of information
- fairness/politeness
- prices/value

Range Statement

Appropriate interpersonal skills may include:

- using appropriate body language
- summarising and paraphrasing to check understanding of customer's message
- providing an opportunity for the customer to confirm their request
- seeking feedback from the customer to confirm understanding of needs
- questioning to clarify and confirm the customer's needs
- listening actively to what the customer is communicating

Customers can be:

- internal or external
- other agencies
- individual members of the organisation
- corporate customers
- individual members of the public

Organisational requirements may include:

- quality assurances and/or procedures manuals
- goals, objectives, plans, systems and processes
- legal and organisational policy/guidelines and requirements
- Occupational Health and Safety policies, procedures and programs
- anti-discrimination and related policy
- access and equity principles and practice
- quality and continuous improvement processes and standards
- defined resource parameters
- who is responsible for products or services
- pricing and discount policies
- replacement and refund policy and procedures
- payment and delivery options

Designated individuals may include:

- supervisor
- customers
- colleagues
- line management

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Range Statement

Customers' complaints may include:

- damaged goods or goods not delivered
- administrative errors such as incorrect invoices or prices
- warehouse or store room errors such as incorrect product delivered
- service errors
- delivery errors
- product not delivered on time
- customer satisfaction with service quality

Customers with special needs may include:

- disabilities
- language
- beliefs/values
- religious/spiritual observances
- gender, age
- culture
- age

Opportunities for enhancing quality of service or product may include:

- procedures for delivery of goods
- returns policy
- system for recording complaints
- extending timelines
- packaging procedures
- update of customer service charter

Verifiable evidence may include:

- customer satisfaction questionnaires
- audit documentation and reports
- quality assurance data
- returned goods
- lapsed customers
- service calls
- complaints

Evidence Guide

The Evidence Guide identifies the critical aspects, underpinning knowledge and skills to be demonstrated to confirm competency for this unit. This is an integral part of the assessment of competency and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- Identifying needs and priorities of customers
- Distinguishing between different levels of customer satisfaction
- Treating customers with courtesy and respect
- Identifying and complying with organisational requirements
- Responding to and reporting on customer feedback

Underpinning Knowledge*

* At this level the learner must demonstrate some relevant theoretical knowledge.

- The 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
- Knowledge of the principles of excellent customer service
- Understanding the organisation's business structure, products and services
- Understanding the organisation's policy and procedures for customer service including handling customer complaints
- Knowledge of product and service standards and best practice models
- Understanding the principles of quality assurance
- Understanding public relations and product promotion
- Consultation methods, techniques and protocols
- Techniques for dealing with customers, including customers with special needs

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Evidence Guide

Underpinning Skills

- Literacy skills to read and understand a variety of texts; prepare general information and papers according to target audience; spell with accuracy; use grammar and punctuation effectively as an aid to understanding
- Proofreading and editing skills to ensure clarity of meaning and conformity to organisational requirements, check for accuracy and consistency of information
- Report writing skills to identify and elaborate on customer service strategies; assess information for relevance and accuracy; source additional information as required
- Technology skills including the ability to select and use technology appropriate to a task
- Problem solving skills to deal with customer enquiries or complaints
- Ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities

Resource implications

The learner and trainer should have access to appropriate documentation and resources normally used in the workplace

Consistency of Performance

In order to achieve consistency of performance, evidence should be collected over a set period of time which is sufficient to include dealings with an appropriate range and variety of situations

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Evidence Guide

Context/s of Assessment

- Competency is demonstrated by performance of all stated criteria, including paying particular attention to the critical aspects and the knowledge and skills elaborated in the Evidence Guide, and within the scope as defined by the Range Statement
- Assessment must take account of the endorsed assessment guidelines in the Business Services Training Package
- Assessment of performance requirements in this unit should be undertaken in an actual workplace or simulated environment
- Assessment should reinforce the integration of the key competencies and the Business Services Common Competencies for the particular AQF Level. Refer to the Key Competency Levels at the end of this unit

Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 2	Level 2	Level 2	Level 1	Level 1	Level 2	Level 1

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – to monitor and report on customer services
- **Communicating ideas and information** – with customers on products and services
- **Planning and organising activities** – to meet customer needs
- **Working with teams and others** – in completing scheduled tasks
- **Using mathematical ideas and techniques** – to determine service or product costs
- **Solving problems** – to respond to customer enquiries or complaints
- **Using technology** – to complete allocated tasks

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSBCMN311A Maintain workplace safety

Unit Descriptor

This unit is concerned with OHS responsibilities of employees with supervisory responsibilities to implement and monitor the organisation's Occupational Health and Safety policies, procedures and programs in a small team to meet legislative requirements. This unit has been adapted from Generic Competency B in the *National Guidelines for Integrating Occupational Health and Safety Competencies into National Industry Competency Standards* [NOHSC:7025 (1998) 2nd edition].

This unit is related to BSBCMN211A Participate in workplace safety procedures and BSBCMN411A Monitor a safe workplace.

Competency Field

Common

Element	Performance Criteria
1. Assist incorporation of Occupational Health and Safety policy and procedures into the work team	1.1 Understanding of basic requirements of *Occupational Health and Safety legislation* in area of responsibility appropriate for health and safety needs of a small work team are demonstrated 1.2 Information on the *organisation's Occupational Health and Safety policies, procedures and programs* is provided in a readily accessible manner and clearly explained to the work group 1.3 Information about *identifying hazards* and the outcomes of *risk assessment* and control is regularly provided and clearly explained to the work group
2. Support participative arrangements for the management of Occupational Health and Safety	2.1 *Organisational consultative procedures* are implemented and monitored to facilitate participation of work group in management of work area hazards 2.2 Issues raised through consultation are promptly dealt with in accordance with organisational procedures for issue resolution 2.3 Encouragement and assistance is given to team members to contribute to the management of Occupational Health and Safety at the workplace 2.4 Feedback from individuals and teams is used to identify and implement improvements in the management of Occupational Health and Safety
3. Support the organisation's procedures for providing	3.1 Advice is provided on Occupational Health and Safety *training needs* of individuals and workgroup

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Element	Performance Criteria
Occupational Health and Safety training	3.2 Advice is provided on strategies and opportunities for development of workgroup's competencies in relation to Occupational Health and Safety 3.3 *Coaching and mentoring assistance* is provided to team members to support the effective development of individual and group competencies in Occupational Health and Safety
4. Participate in identifying hazards and assessing and controlling risks for the work area	4.1 Advice is provided on *hazards in work area* in line with organisation's Occupational Health and Safety policies and procedures 4.2 Support is provided in implementing *procedures to control risks* using the hierarchy of controls and in accordance with organisational procedures 4.3 Inadequacies in existing risk control measures are identified and reported in accordance with the hierarchy of controls 4.4 Occupational Health and Safety records of incidents in the work area are accurately completed and maintained in accordance with Occupational Health and Safety legal requirements

Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Legislation, codes and national standards relevant to the workplace including:	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Occupational Health and Safety legislation will depend on State and Territory legislation and requirements and will include:	• common law duties to meet the general duty of care requirements • requirements for the maintenance and confidentiality of records of occupational injury and disease • provision of information, induction and training

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Range Statement

- regulations and approved codes of practice relating to hazards present in work area
- health and safety representatives and health and safety committees
- prompt resolution of health and safety issues

Organisational Occupational Health and Safety policies and procedures may include:

- procedures for hazard identification
- procedures for risk assessment, selection and implementation of risk control measures
- incident (accident) investigation
- OHS audits and safety inspections
- consultative arrangements for employees in work area
- hazard reporting procedures
- safe operating procedures/instructions
- use & care of personal protective equipment
- emergency & evacuation procedures
- purchasing policy & procedures
- plant & equipment maintenance & use
- hazardous substances use and storage
- dangerous goods transport & storage
- OHS arrangements for on site contractors, visitors and members of public
- first aid provision/medical practitioner contact & attention
- site access

Identifying hazards and assessing risk may occur through activities such as:

- workplace inspections in area of responsibility
- consulting work team members
- housekeeping
- checking equipment before and during work
- review of records, eg injury, hazardous substances including labels and Materials Safety Data Sheet register, dangerous goods storage list, training, plan and equipment maintenance, etc

Training needs relating to Occupational Health and Safety may include:

- coaching, mentoring and/or supervision
- formal/informal learning programs
- internal/external training provision
- personal study

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Range Statement

Coaching and mentoring assistance may include:

- explaining/clarifying
- respecting the contribution of all participants and giving credit for achievements
- presenting and promoting a safe workplace
- problem solving
- providing encouragement
- providing feedback to another team member

Hazards and associated risks to which the work team may be exposed in the work area may include:

- blocked exits
- slippery and uneven floors
- untidy and or noisy work areas
- lack of adequate storage
- reliance on low order control measure (eg PPE) to reduce worker risk exposure instead of controlling the hazard itself
- unguarded /poorly maintained machinery and equipment
- unlabelled chemicals and substances
- ergonomically unsuitable work stations and task design, eg. repetitive work, poor lighting/ glarey surfaces, non-adjustable work surfaces & seating
- internal/external threat of occupational violence and bullying

Controlling risks in the work area may include actions such as:

- application of the hierarch of control, namely:
- eliminate the risk
- reduce/minimise the risk through
  - engineering controls
  - administrative controls
  - personal protective equipment
- regular consultation with workers

Organisational procedures for consultation and issue resolution may include:

- formal and informal meetings
- health and safety committees
- attendance of health and safety representatives at management meetings
- other committees, for example, planning and purchasing
- early response to employee suggestions, requests, reports and concerns put forward to management
- counselling/disciplinary processes

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Evidence Guide

The Evidence Guide identifies the critical aspects, underpinning knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- Apply organisational management systems and procedures to Occupational Health and Safety within work group area
- Identify and comply with Occupational Health and Safety legal and organisational requirements
- Apply procedures for identifying hazards in the work area
- Apply procedures for assessing and controlling risks to health & safety associated with those hazards, in accordance with the hierarchy of control.
- Provide specific, clear and accurate information and advice on workplace hazards to work group
- Provide appropriate supervision of work group

Underpinning Knowledge

- The 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
- Knowledge of hazards and associated risks which exist in the workplace
- Knowledge of organisation's policies and procedures relating to hazard management, fire, emergency, evacuation, incident (accident) investigating and reporting
- Understanding the relevance of Occupational Health and Safety management to other organisational systems and procedures
- Knowledge of characteristics and composition of the workgroup

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Evidence Guide

Underpinning Knowledge*

* At this level the learner must demonstrate some relevant theoretical knowledge.

- Literacy skills to understand workplace procedures and work instructions for identifying and reporting hazards and interpreting Occupational Health and Safety signs and symbols
- Analysing skills to identify hazards and assess risks in the work area
- Data analysis skills including:
  - incident (accident) monitoring
  - environmental monitoring
  - evaluation of effectiveness of risk control measures
- Assessment skills to assess resources required to apply risk control measures
- Technology skills including the ability to operate and shut down equipment
- Coaching and mentoring skills to provide support to colleagues
- Ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities

Resource Implications

The learner and trainer should have access to appropriate documentation and resources normally used in the workplace

Consistency of Performance

In order to achieve consistency of performance, evidence should be collected over a set period of time which is sufficient to include dealings with an appropriate range and variety of situations

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Evidence Guide

Context/s of Assessment

- Competency is demonstrated by performance of all stated criteria, including paying particular attention to the critical aspects and the knowledge and skills elaborated in the Evidence Guide, and within the scope as defined by the Range Statement
- Assessment must take account of the endorsed assessment guidelines in the Business Services Training Package
- Assessment of performance requirements in this unit should be undertaken in an actual workplace or simulated environment
- Assessment should reinforce the integration of the key competencies and the Business Services Common Competencies for the particular AQF Level. Refer to the Key Competency Levels at the end of this unit

Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 2	Level 2	Level 2	Level 2	Level 1	Level 2	Level 1

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – to obtain information to advise colleagues of safety responsibilities
- **Communicating ideas and information** – to resolve safety and environmental issues with work team
- **Planning and organising activities** – to plan resource requirements
- **Working with teams and others** – to consult on the control of risk
- **Using mathematical ideas and techniques** – to calculate resource requirements
- **Solving problems** – to investigate improved work methods
- **Using technology** – to use computing systems to access safety information

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

BSBCMN312A Support innovation and change

Unit Descriptor

This unit covers the skills and knowledge required to contribute ideas for improved work practices and to support the implementation of innovative work practices to effect change.

This unit draws on the work of the Innovative Work Skills project of the Australian National Training Authority.

This unit is related to BSBCMN210A Implement improved work practices and BSBCMN412A Promote innovation and change.

Competency Field Common

Element	Performance Criteria
1. Clarify ideas to improve work practices	1.1 Advantages, disadvantages and consequences of ideas are identified
	1.2 Options are considered and discussed with colleagues
	1.3 Feedback is reflected and used to improve ideas
	1.4 Methods of communicating ideas are considered
2 Advise on innovative work practices	2.1 Advice is clear and consistent with *organisational requirements*
	2.2 Advice provided is realistic and relevant within context of current work practices and objectives
	2.3 Recommendations are provided on required resources, timelines and *roles and responsibilities* for successful implementation of *change*
	2.4 Information about *risk factors* is used to identify potential constraints
	2.5 *Feedback* on innovations is obtained from *designated individuals and groups*
3 Support implementation of new work practices	3.1 Work schedules are adjusted to incorporate necessary modifications to existing work patterns and routines
	3.2 *Business technology* is used to manage and provide access to information on progress towards objectives of change
	3.3 *Mentoring and coaching* is provided to support individuals and groups in the introduction of change
	3.4 Consultation is undertaken with individuals and teams to promote participation in change

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Element	Performance Criteria
	3.5 Advice is provided on the impact of change in a manner accessible to designated personnel

Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

They may use legislation, codes and national standards relevant to the workplace including:

- award and enterprise agreements and relevant industrial instruments
- 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 industry codes of practice

Organisational requirements may be included in:

- quality assurances and/or procedures manuals
- goals, objectives, plans, systems and processes
- legal and organisational policy/guidelines and requirements
- Occupational Health and Safety policies, procedures and programs
- business and performance plans
- anti-discrimination and related policy
- access and equity principles and practice
- ethical standards
- quality and continuous improvement processes and standards
- defined resource parameters
- consultation and communication processes

Roles and responsibilities may include:

- job description and employment arrangements
- organisation's policy relevant to work role
- team structures
- supervision and accountability requirements including Occupational Health and Safety
- skills, training and competencies
- Code of Conduct

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Range Statement

Change may include:

- implementation of new work practices and/or services
- organisational restructures
- introduction of new technology
- change in work location
- new client base
- staffing changes
- job role changes
- work priorities

Risk factors may include:

- disturbances to workflow
- confusion/loss of confidence
- cost blow out
- supplier problems
- product/service delivery problems
- time delays

Feedback on innovations may be obtained from:

- customer satisfaction surveys
- interviews
- comments from colleagues
- analysis of qualitative/quantitative data
- recommendations
- management decisions
- quality assurance data

Designated individuals and groups may include:

- supervisor
- clients
- colleagues
- external organisation
- committee
- line management

Business technology may include:

- computers
- computer applications
- fax
- email
- internet/extranet/intranet

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Range Statement

Mentoring and coaching may include:

- providing feedback to another team member
- fair and ethical practice
- non-discriminatory processes and activities
- respecting the contribution of all participants and giving credit for achievements
- presenting and promoting a positive image of the collective group
- problem solving
- providing encouragement

Evidence Guide

The Evidence Guide identifies the critical aspects, underpinning knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- Ideas for change are communicated effectively
- Giving feedback and advice to colleagues on processes of implementation
- Change is supported

Underpinning Knowledge*

* At this level the learner must demonstrate some relevant theoretical knowledge.

- The 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
- Understanding the organisation's policies, plans and procedures
- Knowledge of own roles and responsibilities
- Understanding the context of change
- Principles and techniques of identifying strengths and weaknesses
- Understanding the impacts of change
- Knowledge of critical success factors and how they relate to change
- Processes to interpret and apply feedback
- Principles and techniques of goal setting and recording priorities

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Evidence Guide

Underpinning Skills

- Literacy skills to read and understand a variety of texts; prepare general information and papers according to target audience; spell with accuracy; use grammar and punctuation effectively as an aid to understanding
- Proofreading and editing skills to ensure clarity of meaning and conformity to organisational requirements, check for accuracy and consistency of information
- Communication skills including active listening, questioning and clarifying, presenting and reporting
- Ability to accept positive and negative feedback
- Planning skills to organise work priorities and arrangements
- Team work skills for working as a member of a team during periods of change
- Consultation skills to maintain effective relationships during periods of change
- Ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities

Resource Implications

The learner and trainer should have access to appropriate documentation and resources normally used in the workplace

Consistency of Performance

In order to achieve consistency of performance, evidence should be collected over a set period of time which is sufficient to include dealings with an appropriate range and variety of situations

Context/s of Assessment

- Competency is demonstrated by performance of all stated criteria, including paying particular attention to the critical aspects and the knowledge and skills elaborated in the Evidence Guide, and within the scope as defined by the Range Statement
- Assessment must take account of the endorsed assessment guidelines in the Business Services Training Package
- Assessment of performance requirements in this unit should be undertaken in an actual workplace or simulated environment
- Assessment should reinforce the integration of the key competencies and the Business Services

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Evidence Guide

Common Competencies for the particular AQF Level. Refer to the Key Competency Levels at the end of this unit

Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 1	Level 1	Level 2	Level 2	Level 1	Level 2	Level 1

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – to measure self-performance
- **Communicating ideas and information** – with members of the work team
- **Planning and organising activities** – for self
- **Working with teams and others** – in completing scheduled tasks
- **Using mathematical ideas and techniques** – as an aid to measure and schedule tasks
- **Solving problems** – as an aid to self-development
- **Using technology** – to manage scheduling of tasks

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

BSBFLM403B Implement effective workplace relationships

Unit Descriptor

This unit specifies the outcomes required to collect, analyse and communicate information and to use that information to develop and maintain effective working relationships and networks, with particular regard to communication and representation.

Competency Field

Business management services

Domain

Frontline management

Application of the Competency

This unit replaces BSBFLM403A Manage effective workplace relationships.

Frontline managers play an important role in developing and maintaining positive relationships in internal and external environments so that customers, suppliers and the organisation achieve planned outputs and outcomes. They play a prominent part in motivating, mentoring, coaching and developing team cohesion through providing leadership for the team and forming the bridge between the management of the organisation and the team members.

At this level, work will normally be carried out within routine and non-routine methods and procedures, which require planning and evaluation and leadership and guidance of others.

This unit builds on BSBFLM303B Contribute to effective workplace relationships. Consider co-assessment with BSBFLM412A Promote team effectiveness. This unit is related to BSBFLM503B Manage effective workplace relationships.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Collect, analyse and communicate information and ideas	1.1 Relevant *information* is collected from appropriate sources, analysed and shared with the work team to improve work performance
	1.2 Ideas and information are communicated in a manner which is appropriate and sensitive to the cultural and social diversity of the audience and any special needs
	1.3 *Consultation processes* are implemented to encourage employees to contribute to issues related to their work, and feedback in regard to outcomes is promptly relayed to the work team
	1.4 Contributions from internal and external sources are sought and valued in developing and refining new ideas and approaches

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	1.5 *Processes* are implemented to ensure that issues raised are resolved promptly or referred to *relevant personnel* as required
2. Develop trust and confidence	2.1 All internal and external contacts are treated with integrity, respect and empathy
	2.2 *The organisation's social, ethical and business standards* are used to develop and maintain effective relationships
	2.3 Trust and confidence of *colleagues, customers and suppliers* is gained and maintained through competent performance
	2.4 Interpersonal styles and methods are adjusted to meet the organisation's social and cultural environment
	2.5 Other members of the work team are encouraged to follow examples set, according to *organisation's policies and procedures*
3. Develop and maintain networks and relationships	3.1 *Networks* are used to identify and build relationships
	3.2 Networks and other work relationships are used to provide identifiable benefits for the team and organisation
4. Manage difficulties into positive outcomes	4.1 Difficulties are identified and analysed, and action is taken to rectify the situation within the requirements of the organisation and relevant legislation
	4.2 Colleagues are guided and supported to resolve work difficulties
	4.3 *Workplace outcomes* are regularly reviewed and improved in consultation with relevant personnel
	4.4 *Poor work performance* is managed within the organisation's processes
	4.5 Conflict is managed constructively within the organisation's processes

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

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Legislation, codes and national standards relevant to the workplace may include:	• award and enterprise agreements and relevant industrial instruments • relevant legislation from all levels of government that affects business operation, especially in regard to occupational health and safety (OHS) and environmental issues, equal opportunity, industrial relations and anti-discrimination • relevant industry codes of practice
OHS considerations may include:	• provision of information about OHS legislative requirements, guidelines and the organisation's OHS policies, procedures and programs • OHS practice as an ethical standard and legislative requirement • training of all employees in health and safety procedures and updating of records • changes to work, work practices and the working environment that have an OHS impact • organisation's responsibilities to employees, customers and suppliers • consultations with employees on OHS issues, with consideration given to social and cultural diversity and any special needs
Information may be:	• data appropriate to work roles and organisational policies that is shared and retrieved in writing or verbally, electronically or manually such as: - policies and procedures - planning and organisational documents including the outcomes of continuous improvement and quality assurance - marketing and customer-related data - archived, filed and historical background data - individual and team performance data
Consultation processes may include:	• opportunities for all employees to contribute to ideas and information to organisational issues • feedback to the work team and relevant personnel in relation to outcomes of the consultation process
Processes may refer to:	• participating in planned organisational activities • coordinating surveys or questionnaires • distributing newsletters or reports • conducting informal meetings • informal dialogue with relevant personnel
Relevant personnel may include:	• managers • supervisors

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	• union representatives/groups • OHS committee and other people with specialist responsibilities • other employees
The organisation's social, ethical and business standards may refer to:	• written standards such as those expressed in: - vision and mission statements - policies - code of workplace conduct/behaviour - dress code - statement of workplace values • implied standards such as honesty and respect relative to the organisation culture and generally accepted within the wider community • standards expressed in legislation and regulations such as anti-discrimination legislation • rewards and recognition for high performing staff
Colleagues, customers and suppliers may include:	• team members • employees at the same level and more senior managers • people from a wide variety of social, cultural and ethnic backgrounds • both internal and external contacts
Organisation's policies and procedures may refer to:	• sets of accepted actions approved by the organisation • organisational tasks and activities undertaken to meet performance outcomes • Standard Operating Procedures • Materials Safety Data Sheets
Networks may be:	• internal and/or external • informal or formal and with individuals or groups • established structures or unstructured arrangements and may include business or professional associations
Workplace outcomes may include:	• performance of the work team • OHS processes and procedures
Poor work performance may refer to:	• self • individual team members • whole work team • organisation as a whole

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Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that they are able to access, analyse and communicate information and ideas to develop and maintain positive internal and external work relationships; develop trust and confidence within the work team; develop and maintain networks; and resolve problems and conflicts effectively and efficiently.

Specific Evidence Requirements

Required knowledge and understanding include:

- 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
- the principles and techniques associated with managing work relationships to achieve planning responsibilities:
  - developing trust and confidence
  - maintaining consistent behaviour in work relationships
  - identifying the cultural and social environment
  - identifying and assessing interpersonal styles
  - establishing, building and maintaining networks
  - identifying and resolving problems
  - resolving conflict
  - managing poor work performance
  - monitoring, analysing and introducing ways to improve work relationships
  - contributing to the elimination of discrimination/bias

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities
- functional literacy skills to access and use workplace information
- skills to research, analyse, interpret and report information

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- relationship management and communication skills:
  - responding to unexpected demands from a range of people
  - using supportive and consultative processes effectively
  - forging effective relationships with internal and/or external people and developing and maintaining these networks
  - gaining the trust and confidence of colleagues
  - dealing with people openly and fairly
- coaching and mentoring skills to provide support to colleagues

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks.

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (2)	• selecting and applying different communication methods to suit different groups and individuals
Collecting, analysing and organising information (2)	• collecting and analysing contributions from internal and external sources
Planning and organising activities (2)	• organising information and feedback collected from various sources
Working in a team (2)	• implementing a range of strategies to facilitate effective workplace relationships
Using mathematical ideas and techniques (1)	• using appropriate calculations to aid effective planning
Solving problems (2)	• using skills and information to assist in the area of conflict resolution and as an aid to decision making
Using technology (2)	• assisting in the management, distribution and communication of information
Innovation skills (2)	• adopting new ideas and approaches to develop and maintain networks, effective workplace relationships and effective communication within the work team

Products that could be used as evidence include:

- documentation produced in managing people within the work team, such as:
  - contribution to organisational policies and procedures

- contribution to procedures and policies for dealing with workplace relationships and communications, and related codes of conduct
- actions taken to address social and ethical standards in the workplace
- actions taken to address issues and problems within work team
- actions taken to address methods of maintaining networks and developing contacts within and outside the organisation
- learning and development plans for team members
- materials developed or available for coaching, mentoring and training
- induction programs developed and/or delivered
- actions taken to address internal and external communication processes
- reviews/reports of people management
- advice and input into decisions related to the work team
- records of people management lessons learned
- records of OHS consultation

Processes that could be used as evidence include:

- how strategies were implemented to ensure that information was collected and accessed
- how ideas and information were communicated
- how communication process was implemented and feedback received and dealt with
- how policies were implemented, and contributions sought and used to develop new ideas and approaches
- how processes were implemented to facilitate new ideas and approaches
- examples of how issues have been resolved
- how the organisation's social and ethical standards have been used within workplace relationships
- how trust and confidence has been developed and maintained
- how interpersonal styles and methods were adjusted to suit the organisation's social and cultural environment
- examples of how networks were developed and maintained
- how strategic networks were used to build relationships

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- how ongoing planning and implementation has been conducted
- how strategies were implemented to ensure that difficulties were addressed and solutions were planned
- how colleagues were guided and supported to resolve work difficulties
- examples of how poor work performance and conflict was managed

Resource implications for assessment include:

- access by the learner and trainer to appropriate documentation and resources normally used in the workplace

Validity and sufficiency of evidence requires:

- that this unit can be assessed in the workplace or in a closely simulated work environment
- that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment
- that examples of actions taken by candidate to implement effective workplace relationships are provided

Integrated competency assessment means:

- that this unit should be assessed with other frontline management units taken as part of this qualification, as applicable to the candidate's leadership role in a work team and as part of an integrated assessment activity

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BSBFLM405B Implement operational plan

Unit Descriptor

This unit specifies the outcomes required to implement the operational plan by monitoring and adjusting operational performance, producing short-term plans for the department/section, planning and acquiring resources and providing reports on performance as required.

Competency Field

Business management services

Domain

Frontline management

Application of the Competency

This unit replaces BSBFLM405A Implement operational plan.

Frontline managers are actively engaged in planning activities to achieve the measurable, stated objectives of the team and the organisation. This key role is carried out to provide safe, efficient and effective products and services to customer satisfaction within the organisation's productivity and profitability plans.

At this level, work will normally be carried out within routine and non-routine methods and procedures, which require planning and evaluation and leadership and guidance of others.

This unit builds on BSBFLM305B Support operational plan. Consider co-assessment with BSBFLM412A Promote team effectiveness, BSBFLM406B Implement workplace information system, BSBCMN411A Monitor a safe workplace, and BSBFLM409B Implement continuous improvement. This unit is related to BSBFLM505B Manage operational plan.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Implement operational plan	1.1 Details of *resource requirements* are collated, analysed and organised in consultation with *relevant personnel, colleagues and specialist resource managers*
	1.2 *Operational plans* are implemented to contribute to the achievement of the organisation's performance/business plan
	1.3 *Key performance indicators* are identified and used to monitor operational performance
	1.4 *Contingency planning* is undertaken as required
	1.5 *Consultation processes* are undertaken as required

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	1.6 Assistance in the development and presentation of proposals for resource requirements is provided in line with operational planning processes
2. Implement resource acquisition	2.1 Employees are recruited and inducted within *the organisation's policies, practices and procedures*
	2.2 Plans for acquisition of physical resources and services are implemented within the organisation's policies, practices and procedures in consultation with relevant personnel
3. Monitor operational performance	3.1 *Performance systems and processes* are monitored to assess progress in achieving profit/productivity plans and targets
	3.2 Budget and actual financial information is analysed and used to monitor profit/productivity performance
	3.3 Unsatisfactory performance is identified and prompt action is taken to rectify the situation according to organisational policies
	3.4 Mentoring, coaching and supervision is provided to support individuals/teams to use resources effectively, economically and safely
	3.5 Recommendations for variation to operational plans are presented and approved by the *designated persons/groups*
	3.6 *Systems, procedures and records* associated with performance are implemented in accordance with the organisation's requirements

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace may include:

- award and enterprise agreements and relevant industrial instruments
- relevant legislation from all levels of government that affects business operation, especially in regard to occupational health and safety (OHS) and environmental issues, equal opportunity, industrial relations, anti-discrimination and recordkeeping standards and legislation
- relevant industry codes of practice

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OHS considerations may include:	• provision of information about OHS legislative requirements, guidelines and the organisation's OHS policies, procedures and programs • OHS practice as an ethical standard and legislative requirement • ensuring all employees are effectively trained in health and safety procedures and are regularly updated on OHS systems • OHS requirements are taken into consideration in the planning process • ensuring the organisation's OHS systems, procedures and records are regularly updated and reviewed • organisation's procedures for dealing with hazardous events are regularly updated and reviewed • key performance indicators include appropriate OHS procedures
Resource requirements may refer to:	• human, physical and financial resources – both current and projected • stock requirements and requisitions • good and services to be purchased and ordered
Relevant personnel, colleagues and specialist resource managers may include:	• managers • supervisors • other employees • colleagues and specialist resource managers • OHS committees and other people with specialist responsibilities • people from a wide range of social, cultural and ethnic backgrounds and physical and mental abilities
Operational plans may refer to:	• tactical plans developed by the department or section to detail product and service performance • organisational plans
Key performance indicators may refer to:	• measures for monitoring or evaluating the efficiency or effectiveness of a system, and which may be used to demonstrate accountability and to identify areas for improvements
Contingency planning may refer to:	• rental, hire purchase or alternative means of procurement of required materials, equipment and stock

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	• contracting out or outsourcing human resource and other functions or tasks • restructuring of organisation to reduce labour costs • strategies for reducing costs, wastage, stock or consumables • diversification of outcomes • recycling and re-use • finding cheaper or lower quality raw materials and consumables • seeking further funding • increasing sales or production • risk identification, assessment and management processes • succession planning
Consultation processes may refer to:	• meetings, interviews, brainstorming sessions, email/intranet communications, newsletters or other processes and devices which ensure that all employees have the opportunity to contribute to team and individual operational plans • mechanisms used to provide feedback to the work team in relation to outcomes of consultation
The organisation's policies, practices and procedures may include:	• those organisational guidelines which govern and prescribe operational functions, such as the acquisition and management of human and physical resources • Standard Operating Procedures • undocumented practices in line with organisational operations • organisational culture
Performance systems and processes may refer to:	• formal processes within the organisation to measure performance, such as: - Key Performance Indicators (KPIs) - specified work outcomes - individual and team work plans - feedback arrangements • informal systems used by frontline managers for the work team in the place of existing organisation-wide systems

Designated persons/groups may include:	• those who have the authority to make decisions and/or recommendations about operations such as workplace supervisors, other managers • other affected work groups or teams and groups designated in workplace policies and procedures
Systems, procedures and records may include:	• individual and team performance plans • organisational policies and procedures relative to performance • databases and other recording mechanisms for ensuring records are kept in line with organizational requirements

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this standard must be able to provide evidence that they are able to implement an operational plan. This will include monitoring and adjusting operational performance, producing short-term plans for the department or section, planning and acquiring resources, and providing reports on performance as required.

Specific Evidence Requirements

Required knowledge and understanding include:	• 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 • the principles and techniques associated with: - monitoring and implementing operations and procedures - resource planning and acquisition - resource management systems at the tactical implementation level - relevant budgeting and financial analysis, interpretation and reporting requirements - methods for monitoring and reporting on performance - problem identification and methods of resolution

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- tactical risk analysis including identification and reporting requirements
- contingency planning

- alternative approaches to improving resource usage and eliminating resource inefficiencies and waste
- alternative approaches to mentoring and coaching individuals and teams who have difficulty in performing to the required standard

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities
- functional literacy skills to access and use workplace information and to prepare reports
- skills to:
  - monitor and maintain a safe workplace and environment
  - access and use feedback to improve operational performance
  - prepare recommendations to improve operations
  - access and use established systems and processes
- coaching and mentoring skills to provide support to colleagues

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks.

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (2)	• sharing information with team on strategies and processes for implementation' • providing feedback to team members on work performance
Collecting, analysing and organising information (2)	• acquiring information for monitoring and reporting purposes, and to aid in the implementation of the operational plan

Planning and organising activities (2)	• planning the acquisition of physical and human resources • allocating work within the team
Working in a team (2)	• working cooperatively with team to achieve planned outcomes
Using mathematical ideas and techniques (1)	• carrying out calculations associated with resource usage and analysing and monitoring budget and financial plans
Solving problems (2)	• monitoring and implementing contingency plans to address unsatisfactory performance in all areas of the operation
Using technology (2)	• using technology to track, monitor and report on implementation of operating plan
Innovation skills (2)	• creating innovative methods to achieve planned outcomes
Products that could be used as evidence include:	• documentation produced while implementing the operational plan, such as: - variations to operational plan - rosters and staff allocation - resource acquisition planning - actions taken to address resource shortfalls - monitoring of financial plans and budgets - contingency planning - risk management - learning and development plans for team members - materials developed for coaching, mentoring and training - induction programs developed and/or delivered - actions taken to address poor, unsafe or excellent performance - actions taken to address issues and problems within work team - reviews of people management - advice and input into management decisions related to the operational plan - records of people management lessons learned

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Processes that could be used as evidence include:	• how the operational plan was implemented • how contingency plan was implemented • how work has been allocated within the work team, and the rationale for allocations • how team members were recruited, guided and supported in performing their role including the induction process for new team members • how performance systems and process were monitored • how the budget and financial information were analysed and used • how the performance management system was implemented and/or monitored within work team • examples of how consultation processes were conducted • how problems and issues within the work team have been addressed • how input and advice was provided to management in relation to human resource management • how own people management processes have been reviewed and evaluated, and improvements identified, reported and acted upon
Resource implications for assessment include:	• access by the learner and trainer to appropriate documentation and resources normally used in the workplace
Validity and sufficiency of evidence requires:	• that this unit can be assessed in the workplace or in a closely simulated work environment • that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • that examples of actions taken by candidate to implement the operational plan are provided
Integrated competency assessment means:	• this unit should be assessed with other frontline management units taken as part of this qualification, as applicable to the candidate's leadership role in a work team and as part of an integrated assessment activity

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BSBFLM406B Implement workplace information system

Unit Descriptor

This unit specifies the outcomes required to implement the workplace information system. It involves the identification, acquisition, initial analysis and use of appropriate information which plays a significant part in the organisation's effectiveness.

Competency Field

Business management services

Domain

Frontline management

Application of the Competency

This unit replaces BSBFML406A Implement workplace information system.

Frontline managers, in identifying, acquiring, analysing and using appropriate information, play a significant role in contributing to the organisation's effectiveness.

At this level, work will normally be carried out within routine and non-routine methods and procedures which require planning and evaluation, leadership and guidance of others, and some discretion and judgement.

This unit builds on BSBFLM306B Provide workplace information and resourcing plans**.** Consider co-assessment with BSBFLM405B Implement operational plan, BSBFLM409B Implement continuous improvement, BSBFLM412A Promote team effectiveness, BSBCMN410A Coordinate implementation of customer service strategies and BSBCMN411A Monitor a safe workplace. This unit is related to BSBFLM506B Manage workplace information systems.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Identify and source information needs	1.1 *Information* required by teams is determined and found
	1.2 Information held by the organisation is acquired and reviewed to determine suitability, accessibility, currency and reliability according to *organisational policies*
	1.3 *Plans* are prepared and implemented to obtain information which is not immediately available or accessible
2. Collect, analyse and report information	2.1 Collection of information is timely, and is adequate and relevant to the needs of teams
	2.2 Information is in a format suitable for analysis, interpretation and dissemination

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	2.3 Information is analysed to identify and report relevant trends and developments in terms of the needs for which it was acquired
3. Implement information systems	3.1 Management information systems are implemented effectively to store, retrieve and regularly review data for decision making purposes
	3.2 *Technology* available in the work area is used to manage information effectively
	3.3 Recommendations for improving the information system are submitted to *designated persons and/or groups*
4. Prepare business plan/budgets	4.1 Teams are involved in *business plans and/or budget* preparation in a way which uses their contribution effectively and contributes to gaining support for the outcomes
	4.2 Business plans and/or budgets are presented and prepared in accordance with the organisation's guidelines and requirements
	4.3 *Contingency plans* are implemented in the event that alternative action is required
5. Prepare resource proposals	5.1 *Resource* planning data is collected in consultation with *colleagues*, including those who have a specialist role in resource management
	5.2 Estimates of resource needs and use reflect the organisation's business plans, and customer and supplier requirements
	5.3 Proposals to secure resources are supported by clearly presented submissions describing realistic options, benefits, costs and outcomes

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace may include:

- award and enterprise agreements and relevant industrial instruments
- relevant legislation from all levels of government that affects business operation, especially in regard to occupational health and safety (OHS) and environmental issues, equal opportunity, industrial relations, anti-discrimination and recordkeeping standards and legislation
- relevant industry codes of practice

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OHS considerations include:	• provision of information about OHS legislative requirements, guidelines and the organisation's OHS policies, procedures and programs including arrangements for reporting hazards to management • health and safety procedures at the workplace relevant to employees, including the use and maintenance of risk control measures • information on how employees can access health and safety information • inclusion of OHS in business plans • inclusion of OHS in resource proposals
Information may include:	• data shared and retrieved in various forms such as in writing or verbally, electronically or manually • policies and procedures • planning and organisational documents • organisational performance data • financial and contractual data • marketing and customer-related data • continuous improvement and quality assurance data • archived, filed and historical background data • data available internally or externally
Organisational policies may include:	• guidelines for decision making throughout the organisation that link the formulation of strategy with its implementation • sets of accepted actions approved by the organisation • Standard Operating Procedures
Plans may refer to:	• an informal document outlining a series of planned actions or steps • action plans, project plans or more formal planning tools in line with organisational procedures
Technology may include:	• computerised systems and software such as databases, project management and word-processing • telecommunications devices • any other technology used to carry out work roles and responsibilities
Designated persons and/or groups may include:	• managers or supervisors whose have management roles and responsibilities concerning information systems • other work groups or teams whose work will be affected by the system • groups designated in workplace policies and procedures

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	• other stakeholders accessing the information system such as customers and service providers
Business plans and/or budgets may refer to:	• long-term budgets/plans • short-term budgets/plans • operational plans • spreadsheet-based financial projections • cash flow projections • targets or Key Performance Indicators (KPIs) for production, productivity, wastage, sales, income and expenditure
Contingency plans may include:	• rental, hire purchase or alternative means of procurement of required materials, equipment and stock • contracting out or outsourcing human resource and other functions or tasks • restructuring of organisation to reduce labour costs • strategies for reducing costs, wastage, stock or consumables • diversification of outcomes • recycling and re-use • finding cheaper or lower quality raw materials and consumables • seeking further funding • increasing sales or production • risk identification, assessment and management processes
Resource may include:	• people • power/energy • information • finance • buildings/facilities • equipment • technology • time • targets or Key Performance Indicators (KPIs) for production, productivity, wastage, sales, income and expenditure
Colleagues may include:	• team members • employees at the same level or more senior managers • OHS committee members and other specialists

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- people from a range of social, cultural and ethnic backgrounds and physical and mental abilities

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this standard must be able to provide evidence that they are able to effectively implement the workplace information system by demonstrating that they are able to access and use workplace information to facilitate business operations; and prepare information for financial and resource plans/proposals.

Specific Evidence Requirements

Required knowledge and understanding include:

- 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
- the principles and techniques associated with:

  workplace information systems

  tactical plans and budgets

  resource proposals
- the basic financial concepts in tactical plans and budgets
- the methods to gain efficiencies in resource management

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities
- functional literacy skills to access and use workplace information
- communication skills
- research skills including:
  - information collection, analysis, interpretation and reporting
  - identifying corporate information resources
  - identifying tactical and operational information requirements of the team
- information management skills

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- information presentation skills
- skills to improve information usage in decision making
- coaching and mentoring skills to provide support to colleagues
- technology skills to extract/input/present information

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks.

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (2)	• identifying information needs with the work team • seeking the contribution of others in preparing a business plan or budget • providing feedback on information and contributions provided
Collecting, analysing and organising information (2)	• collecting data • using the management information system to store and retrieve information • submitting information in an appropriate format
Planning and organising activities (2)	• planning the timing and methods of information collection • organising meetings to discuss results and outcomes
Working in a team (2)	• utilising team strategies to maximise effective of work to be done
Using mathematical ideas and techniques (1)	• using appropriate techniques to aid data collection and to make budget calculations
Solving problems (2)	• contributing to contingency planning
Using technology (1)	• using technology to assist the management of information
Innovation skills (2)	• developing an innovative approach to the implementation of the information system to enhance business operations

Products that could be used as evidence include:

- documentation produced in implementing workplace information systems, such as:

- contribution to organisational policies and procedures
- contribution to procedures and policies for dealing with information management systems, and related codes of conduct
- actions taken to address information collection and retrieval in the workplace
- actions taken to address methods of analysing information and implementing an information system
- actions taken to address internal and external information management issues
- learning and development plans
- materials developed for coaching, mentoring and training
- induction programs developed and/or delivered
- actions taken to address issues and problems within work team
- reviews of people management
- advice and input into management decisions related to the management information system
- records of people management lessons learned

Processes that could be used as evidence include:

- how information needs were determined and information was collected within the work team
- how information held by the organisation was acquired, analysed and reviewed
- examples of procedures implemented to obtain information which is not readily available
- how procedures have been implemented to ensure that information is collected in a suitable format, a time efficient manner and how accuracy and adequacy has been controlled
- how the information system was implemented
- examples of how information was used, especially with the utilisation of technology
- examples of how recommendations for improvement were encouraged and acknowledged
- how the work team was involved in the preparation of business plans and budgets
- how estimates of resource needs were planned and resource requirements are processed
- examples of contingency plan

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Resource implications for assessment include:	• access by the learner and trainer to appropriate documentation and resources normally used in the workplace
Validity and sufficiency of evidence requires:	• that this unit can be assessed in the workplace or in a closely simulated work environment • that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • that examples of actions taken by candidate to implement the workplace information system are provided
Integrated competency assessment means:	• that this unit should be assessed with other frontline management units taken as part of this qualification, as applicable to the candidate's leadership role in a work team and as part of an integrated assessment activity

BSBFLM409B Implement continuous improvement

Unit Descriptor

This unit specifies the outcomes required to implement the organisation's continuous improvement systems and processes. Particular emphasis is on using systems and strategies to actively encourage the team to participate in the process, monitoring and reviewing performance, and identifying opportunities for further improvements.

Competency Field

Business management services

Domain

Frontline management

Application of the Competency

This unit replaces BSBFLM409A Implement continuous improvement.

Frontline managers have an active role in implementing the continuous improvement process in achieving the organisation's objectives. Their position, closely associated with the creation and delivery of products and services, means that they have an important responsibility in influencing the ongoing development of the organisation.

At this level, work will normally be carried out within routine and non-routine methods and procedures, which require planning and evaluation, and leadership and guidance of others.

This unit builds on BSBFLM309A Support continuous improvement systems and processes. Consider co-assessment with BSBFLM405B Implement operational plan, BSBCMN411A Monitor a safe workplace, BSBCMN412A Promote innovation and change and BSBFLM412A Promote team effectiveness. This unit is related to BSBFLM509B Facilitate continuous improvement.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Implement continuous improvement systems and processes	1.1 *Systems* are implemented to ensure that individuals and teams are actively encouraged and supported to *participate in decision making processes*, assume responsibility and exercise initiative 1.2 The organisation's *continuous improvement processes* are communicated to individuals and teams, and feedback is obtained 1.3 Effective *mentoring and coaching* ensures that individuals and teams are able to implement the organisation's continuous improvement processes

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2. Monitor and review performance	2.1 The organisation's systems and *technology* are used to monitor and review progress and to identify ways in which planning and operations could be improved
	2.2 *Customer service* is improved through continuous improvement techniques and processes
	2.3 Recommendations for adjustments are formulated and communicated to those who have a role in their development and implementation
3. Implement opportunities for further improvement	3.1 *Processes* are implemented to ensure that team members are informed of savings and productivity/ service improvements in achieving the business plan
	3.2 Work performance is documented to aid the identification of further opportunities for improvement
	3.3 Records, reports and recommendations for improvement are managed within the organisation's systems and processes

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace may include:	• award and enterprise agreements and relevant industrial instruments • relevant legislation from all levels of government that affects business operation, especially in regard to occupational health and safety (OHS) and environmental issues, equal opportunity, industrial relations, anti-discrimination and record keeping standards and legislation • relevant industry codes of practice
OHS considerations may include:	• provision of information about OHS legislative requirements, guidelines and the organisation's OHS policies, procedures and programs • OHS practice as an ethical standard and legislative requirement • training of all employees in health and safety procedures, and updating of records • requirements of OHS legislation related to delegation and reporting • implementation and monitoring of the continuous improvement processes of any OHS management system

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Systems may refer to:	• organisation policies and procedures • web based communication devices • forums, meetings • newsletters and reports
Participate in decision making processes may include:	• processes which ensures that all employees have the opportunity to contribute to organisational issues • feedback in relation to outcomes of the consultative process
Continuous improvement processes may include:	• policies and procedures which allow an organisation to systematically review and improve the quality of its products, services and procedures • cyclical audits and reviews of workplace, team and individual performance • seeking and considering feedback from a range of stakeholders • modifications and improvements to systems, processes, services and products • evaluations and monitoring of effectiveness
Mentoring and coaching may refer to:	• teaching another member of the team, usually focusing on a specific work task or skill • providing feedback, support and encouragement on a range of matters • providing assistance with problem solving
Technology may include:	• computerised systems and software such as databases, project management and word-processing • telecommunications devices • any other technology used to carry out work roles and responsibilities
Customer service may be:	• internal or external • to existing, new or potential clients
Processes may refer to:	• team meetings • email/intranet, newsletters or other communication devices • newsletters and bulletins • staff reward mechanisms

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Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this standard must be able to provide evidence that they are able to implement, monitor and adjust plans, processes and procedures to improve performance; they must also be able to support others to implement the continuous improvement system/processes, and be able to identify and report opportunities for further improvement.

Specific Evidence Requirements

Required knowledge and understanding include:

- 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
- the principles and techniques associated with:
  - continuous improvement systems and processes
  - benchmarking
  - best practice
  - the quality approaches which the organisation may implement
  - the methods that can be used in continuous improvement
  - the organisation's recording, reporting and recommendation processes to facilitate continuous improvement
  - change management
- the benefits of continuous improvement
- the barriers to continuous improvement

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities
- functional literacy skills to access and use workplace information
- communication skills to:
  - gain the commitment of individuals and teams to continuous improvement
  - deal with people openly and fairly
  - use consultation skills effectively

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- research, analysis, interpretation and reporting skills
- monitoring and evaluation skills
- skills to consolidate opportunities for improvement
- coaching and mentoring skills to provide support to colleagues

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks.

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (2)	• liaising with individuals and work team to improve the organisation's continuous improvement processes • communicating the organisation's continuous improvement systems and processes • ensuring the effective coaching and mentoring of team members is provided
Collecting, analysing and organising information (2)	• analysing data related to progress and improvement • organising information in such a way that it is accessible to team members • making recommendations for adjustments to systems and processes
Planning and organising activities (2)	• planning customer service improvements
Working in a team (2)	• encouraging team members to participate in decision making processes • obtaining team feedback on further improvement initiatives
Using mathematical ideas and techniques (1)	• completing calculations for work improvement
Solving problems (2)	• implementing the organisation's continuous improvement processes, and investigating problems with introducing improvements
Using technology (2)	• using technology to assist the management of information to aid the continuous improvement

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Innovation skills (2)	• developing an innovative approach to the implementation of the continuous improvement system to enhance business operations
Products that could be used as evidence include:	• documentation produced in implementing continuous improvement, such as: - contribution to organisational policies and procedures - contribution to procedures and policies for dealing with continuous improvement processes, and relevant codes of conduct - actions for information collection, analysis and retrieval - learning and development plans - materials developed for coaching, mentoring and training - induction programs developed and/or delivered - actions taken to address internal and external information management issues - actions taken to address issues and problems - reviews of people management - advice and input into management decisions related to continuous improvement - records of people management lessons learned
Processes that could be used as evidence include:	• how strategies have been implemented to encourage team members to participate in the decision making process • examples of how continuous improvement processes were communicated to all stakeholders • examples of coaching and mentoring used to support continuous improvement processes • how technology was used to monitor operational progress • recommendations for adjustments that have been made • how team members were informed of improvements/innovations • how work performance was documented to aid identification of further opportunities for improvement • how future planning has included areas which have recorded improvements
Resource implications for assessment include:	• access by the learner and trainer to appropriate documentation and resources normally used in the workplace

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Validity and sufficiency of evidence requires:	• that this unit can be assessed in the workplace or in a closely simulated work environment • that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • that examples of actions taken by candidate to implement continuous improvement are provided
Integrated competency assessment means:	• this unit should be assessed with other frontline management units taken as part of this qualification, as applicable to the candidate's leadership role in a work team and as part of an integrated assessment activity

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BSBFLM412A Promote team effectiveness

Unit Descriptor

This unit specifies the outcomes required of frontline managers to promote teamwork. It involves developing team plans to meet expected outcomes, leading the work team, and proactively working with the management of the organisation.

Competency Field

Business management services

Domain

Frontline management

Application of the Competency

This unit replaces BSBFLM402A Show leadership in the workplace and BSBFLM404A Lead work teams, which have been combined to create this unit.

Frontline managers have an important leadership role in the development of efficient and effective work teams. They play a prominent part in team planning, supervising the performance of the team and developing team cohesion by providing leadership for the team and forming the bridge between the management of the organisation and the team members.

At this level, work will normally be carried out within both routine and non-routine methods and procedures which require planning and evaluation, and leadership and guidance of others.

This unit builds on BSBFLM312A Contribute to team effectiveness and is related to BSBFLM512A Ensure team effectiveness

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Plan to achieve team outcomes	1.1 *Team purpose, roles, responsibilities, goals, plans and objectives* are identified, established and documented in *consultation* with team members
	1.2 Team members are supported in meeting expected outcomes
2. Develop team cohesion	2.1 Opportunities are provided for input of team members into planning, decision making and operational aspects of work team
	2.2 Team members are encouraged and supported to take *responsibility for own work* and to assist each other in undertaking required roles and responsibilities
	2.3 *Feedback* is provided to team members to encourage, value and reward individual and team efforts and contributions

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	2.4 Issues, concerns and problems identified by team members are recognised and addressed or referred to *relevant persons* as required
3. Participate in and facilitate work team	3.1 Team members are actively encouraged to participate in and take responsibility for team activities and communication processes
	3.2 The team is given support to identify and resolve problems which impede its performance
	3.3 Own contribution to work team serves as a role model for others and enhances the organisation's image within the work team, the organisation and with clients/customers
4. Liaise with management	4.1 *Communication* with *line manager/management* is kept open at all times
	4.2 Information from line manager/management is communicated to the team
	4.3 Unresolved issues, concerns and problems raised by the team/team members are communicated to line manager/management and followed up to ensure action is taken
	4.4 Unresolved issues, concerns and problems related to the team/team members raised by line managers/management are communicated to the team and followed up to ensure action is taken

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace may include:	• award and enterprise agreements and relevant industrial instruments • relevant legislation from all levels of government that affects business operation, especially in regard to occupational health and safety (OHS) and environmental issues, equal opportunity, industrial relations, anti-discrimination and record keeping standards and legislation • relevant industry codes of practice
OHS considerations may include:	• provision of information about OHS legislative requirements, guidelines and the organisation's OHS policies, procedures and programs • OHS practice as an ethical standard and legislative requirement • training of all employees in health and safety procedures, and updating of records

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Team purpose, roles, responsibilities, goals, plans and objectives may include:	• goals for individuals and the work team • expected outcomes and outputs • individual and team performance plans and Key Performance Indicators (KPIs) • action plans, business plans and operational plans linked to strategic plans • OHS responsibilities
Consultation may refer to:	• attending meetings, interviews, brainstorming sessions and using email/intranet communications, newsletters or other processes and devices which ensure that all employees have the opportunity to contribute to team and individual effectiveness • using mechanisms used to provide feedback to the work team in relation to outcomes of consultation
Responsibility for own work may involve:	• individuals and teams • individual and joint actions
Feedback may refer to:	• informal communication of ideas and thoughts on specific tasks, outcomes, decisions, issues or behaviours • formal/informal gatherings between team members where there is communication on work related matters
Relevant persons may include:	• frontline manager's direct superior or other management representatives • colleagues • OHS committees and other people with specialist responsibilities
Communication may include:	• verbal, written or electronic communication • face-to-face • formal/informal interaction
Line manager/management may refer to:	• frontline manager's direct superior or other management representatives

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

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Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that they are able to demonstrate leadership in developing and implementing plans, in leading and facilitating teamwork and in actively liaising with management. They must also provide evidence that teamwork is actively promoted, supported and encouraged within the work team; and their own performance serves as a role model for others and enhances the organisation's image.

Specific Evidence Requirements

Required knowledge and understanding includes:

- 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
- organisational policies and procedures
- organisational goals, objectives and plans
- organisational structure, including organisational chart
- the principles and techniques associated with:
  - leadership
  - delegation and work allocation
  - group dynamics and processes
  - motivation
  - goal setting
  - planning
  - negotiation
  - individual behaviour and difference

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities
- communication skills
- basic training skills, including mentoring and coaching
- planning and organising skills
- problem solving skills
- leadership skills
- group facilitation skills
- attributes:
  - empathic
  - communicative

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- showing positive leadership
- self-aware
- supportive
- trusting
- open
- flexible
- accommodating
- initiating
- loyal
- recognising achievement
- fair
- adaptable
- assertive
- persuasive

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks.

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (2)	• communicating verbally to lead a team including negotiating, basic training, conducting meetings, questioning and discussing • communicating in writing, including report writing, communicating with management, identifying issues and concerns in writing
Collecting, analysing and organising information (2)	• maintaining currency of own knowledge and skills and that of team members relevant to organisation planning • undertaking analysis following planning activities • using data collection and analysis for monitoring and review
Planning and organising activities (2)	• planning for own work and that of team members including delegation and work allocation
Working in a team (2)	• working with team members and providing leadership to team • working with line manager/management to represent team interests

Using mathematical ideas and techniques (1)	• using calculation skills associated with data manipulation relevant to work of team, including financial data
Solving problems (2)	• applying problem solving skills as required to address problems arising in leading team
Using technology (1)	• using word processing packages, spreadsheets, databases, and other packages to produce written correspondence and reports related to operations and leadership of team • understanding assistive technologies, as necessary
Innovation skills (2)	• developing an innovative approach to the implementation of strategies to improve team effectiveness
Products that could be used as evidence include:	• documentation produced in managing people within the work team, such as: - reports - minutes or records of meetings - work journals or diaries - records of actions taken to address issues raised by team members
Processes that could be used as evidence include:	• how communication process has been managed and how processes have been implemented to ensure that consultation takes place • examples of how team members were supported and encouraged to meet expected outcomes • examples of strategies which have been developed to develop and facilitate team cohesion • how performance plan was implemented • how team members were guided and supported in performing their role, including induction process for new team members • how performance management system was implemented within work team • how problems and issues within the work team were addressed • how input and advice was provided to management in relation to human resource management of the work team • how own people management processes were reviewed and evaluated, improvements identified, reported and acted upon

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Resource implications for assessment include:	• access by the learner and trainer to appropriate documentation and resources normally used in the workplace
Validity and sufficiency of evidence requires:	• that this unit can be assessed in the workplace or in a closely simulated work environment • that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • that examples of actions taken by candidate to promote team effectiveness are provided
Integrated competency assessment means:	• that this unit should be assessed with other frontline management units taken as part of this qualification, as applicable to the candidate's leadership role in a work team and as part of an integrated assessment activity

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BSBCMN402A Develop work priorities

Unit Descriptor This unit covers the skills and knowledge required to plan own work schedules, monitor and obtain feedback on work performance and development.

This unit is related to BSBCMN302A Organise personal work priorities and development.

Competency Field Common

Element	Performance Criteria
1. Plan and complete own work schedule	1.1 *Workgroup* plans are prepared to reflect consideration of resources, client needs and workgroup targets
	1.2 *Work objectives* and priorities are analysed and incorporated into personal schedules and responsibilities
	1.3 *Factors* affecting the achievement of work objectives are identified and contingencies established and incorporated into work plans
	1.4 *Business technology* is used efficiently and effectively to manage and monitor planning completion and scheduling of tasks
2. Monitor own work performance	2.1 Personal performance standards are identified and analysed through self-assessment and feedback from others on the achievement of work objectives
	2.2 *Feedback on performance* is actively sought from colleagues and clients and evaluated in context of individual and group requirements
	2.3 Variations in the quality of service and products are routinely identified and reported in accordance with *organisational requirements*
3. Coordinate professional development	3.1 Personal knowledge and skills are assessed against *competency standards* performance descriptions to determine development needs and priorities
	3.2 Opportunities for improvement and sources of learning are researched and planned in liaison with colleagues
	3.3 *Feedback* is used to identify and develop ways to improve competence within available opportunities

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Element	Performance Criteria
	3.4 New skills are identified and *professional development activities* are accessed and completed to facilitate continuous learning and career development
	3.5 Records and documents relating to achievements and assessments are stored and maintained in accordance with organisational requirements

Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

They may use legislation, codes and national standards relevant to the workplace including:

- award and enterprise agreements and relevant industrial instruments
- 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 industry codes of practice

Workgroup plans may include:

- sales plans
- reporting plans
- production plans
- budgetary plans
- team participation
- work schedules
- team and individual learning goals

Work objectives may include:

- sales targets
- reporting deadlines
- production targets
- budgetary targets
- team participation
- team and individual learning goals

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Range Statement

Factors affecting the achievement of work objectives may include:

- competing work demands
- technology/equipment breakdowns
- unforeseen incidents
- personnel
- environmental factors such as time, weather, etc
- resource and materials availability
- budget constraints

Business technology may include:

- computers
- computer applications
- personal schedules
- modems
- scanners
- email and internet/intranet/extranet
- photocopiers
- facsimile machines
- printers

Feedback on performance may include:

- formal/informal performance appraisals
- obtaining comments from supervisors and colleagues
- obtaining comments from clients
- personal, reflective behaviour strategies
- routine organisational methods for monitoring service delivery

Organisational requirements may be included in:

- quality assurances and/or procedures manuals
- goals, objectives, plans, systems and processes
- legal and organisational policy/guidelines and requirements
- business and performance plans
- access and equity principles and practice
- ethical standards
- Occupational Health and Safety policies, procedures and programs
- quality and continuous improvement processes and standards
- defined resource parameters

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Range Statement

Competency standards are standards which measure:

- all those personal and technical knowledge, skills and attitudinal aspects (competencies) required to effectively and efficiently undertake the day to day tasks and duties of the practitioner's work function

Professional development activities may include:

- coaching, mentoring and/or supervision
- formal/informal learning programs
- internal/external training provision
- work experience/exchange/opportunities
- personal study
- career planning/development
- performance appraisals
- workplace skills assessment
- Recognition of Prior Learning

Evidence Guide

The Evidence Guide identifies the critical aspects, underpinning knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- Preparing and communicating work plans
- Scheduling work objectives and tasks to support the achievement of goals
- Seeking and acting on feedback from clients and colleagues
- Reviewing own work performance against achievements through self-assessment
- Accessing learning opportunities to extend own personal work competencies
- Using business technology to monitor self development

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating some theoretical concepts.

- The 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
- Understanding the organisation's policies, plans and procedures
- Understanding of methods to elicit, analyse and

Evidence Guide

interpret feedback

- Knowledge of techniques to prepare personal plans and establish priorities
- Knowledge of quality standards for products and services
- Knowledge of relevant business technology applications
- Understanding of methods to evaluate own performance
- Processes to interpret competency standards and apply them to self
- Methods to identify and prioritise personal learning needs
- Understanding range of professional development activities and criteria to apply in choosing between them

Underpinning Skills

- Literacy skills to understand the organisation's policies and procedures; interpret competency standards; use a variety of strategies for planning and reviewing own work
- Problem solving skills to develop contingency plans
- Evaluation skills for assessing outcomes
- Communication skills including giving and receiving constructive feedback on development needs
- Technology skills including the ability to select and use technology appropriate to a task
- Time management skills to complete tasks within agreed timeframes
- Observation skills for identifying opportunities for learning and development
- Participation skills for integrating as a member of a work team
- Ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities

Resource Implications

The learner and trainer should have access to appropriate documentation and resources normally used in the workplace

Consistency of Performance

In order to achieve consistency of performance, evidence should be collected over a set period of time which is

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Evidence Guide

sufficient to include dealings with an appropriate range and variety of situations

Context/s of Assessment

- Competency is demonstrated by performance of all stated criteria, including paying particular attention to the critical aspects and the knowledge and skills elaborated in the Evidence Guide, and within the scope as defined by the Range Statement
- Assessment must take account of the endorsed assessment guidelines in the Business Services Training Package
- Assessment of performance requirements in this unit should be undertaken in an actual workplace or simulated environment
- Assessment should reinforce the integration of the key competencies and the Business Services Common Competencies for the particular AQF Level. Refer to the Key Competency Levels at the end of this unit

Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 2	Level 2	Level 2	Level 2	Level 1	Level 2	Level 2

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – to measure self-performance
- **Communicating ideas and information** – with members of the work team
- **Planning and organising activities** – for self
- **Working with teams and others** – in completing scheduled tasks
- **Using mathematical ideas and techniques** – as an aid to measure and schedule tasks
- **Solving problems** – as an aid to self-development
- **Using technology** – to manage scheduling and completion of tasks

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSBCMN404A Develop teams and individuals

Unit Descriptor

This unit covers the skills and knowledge required to determine individual and team development needs and facilitate the development of the workgroup.

This unit is related to BSBCMN304A Contribute to personal skill development and learning.

Competency Field

Common

Element	Performance Criteria
1. Determine development needs	1.1 *Learning and development needs* are systematically identified and implemented in line with *organisational requirements*
	1.2 A learning plan to meet individual and group training and development needs is collaboratively developed, agreed to and implemented
	1.3 Individuals are encouraged to self evaluate performance and identify areas for improvement
	1.4 *Feedback on performance* of team members is collected from relevant sources and compared with established team learning needs
2. Develop individuals and teams	2.1 Learning and development program goals and objectives are identified to match specific knowledge and skill requirements of *competency standards*
	2.2 *Learning delivery methods* are appropriate to the learning goals, the learning style of participants, and availability of *equipment and resources*
	2.3 Workplace learning opportunities and *coaching and mentoring assistance* are provided to facilitate individual and team achievement of competencies
	2.4 Development opportunities incorporate a range of activities and support materials appropriate to the achievement of identified competencies
	2.5 Resources and timelines required for learning activities are identified and approved in accordance with organisational requirements
3. Monitor and evaluate workplace learning	3.1 Feedback from individuals or teams is used to identify and implement improvements in future learning arrangements

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Element	Performance Criteria
	3.2 Outcomes and performance of individuals/teams are assessed and recorded to determine the effectiveness of development programs and the extent of additional development support
	3.3 Modifications to learning plans are negotiated to improve the efficiency and effectiveness of learning
	3.4 Records and reports of competency are documented and maintained within organisational requirements

Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

They may use legislation, codes and national standards relevant to the workplace including:	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Learning and development needs may include:	• coaching, mentoring and/or supervision • formal/informal learning programs • internal/external training provision • work experience/exchange/opportunities • personal study • career planning/development • performance appraisals • workplace skills assessment • Recognition of Prior Learning

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Range Statement

Organisational requirements may be included in:

- quality assurances and/or procedures manuals
- goals, objectives, plans, systems and processes
- legal and organisational policy/guidelines and requirements
- Occupational Health and Safety policies, procedures and programs
- confidentiality and security requirements
- business and performance plans
- anti-discrimination and related policy
- access and equity principles and practice
- ethical standards
- quality and continuous improvement processes and standards
- defined resource parameters

Feedback on performance may include:

- formal/informal performance appraisals
- obtaining feedback from supervisors and colleagues
- obtaining feedback from clients
- personal, reflective behaviour strategies
- routine organisational methods for monitoring service delivery

Competency standards are standards which measure:

- all those personal and technical knowledge, skills and attitudinal aspects (competencies) required to effectively and efficiently undertake the day to day tasks and duties of the practitioner's work function

Learning delivery methods may include:

- on-the-job coaching or mentoring
- problem solving
- presentations/demonstrations
- formal course participation
- work experience
- involvement in professional networks
- conference and seminar attendance
- induction

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Range Statement

Equipment and resources may include:

- funding
- facilities
- guest speakers
- training equipment such as whiteboards and audio-visual equipment
- technological tools and equipment
- time

Coaching and mentoring assistance may include:

- providing feedback to another team member
- fair and ethical practice
- non-discriminatory processes and activities
- respecting the contribution of all participants and giving credit for achievements
- presenting and promoting a positive image of the collective group
- problem solving
- providing encouragement

Evidence Guide

The Evidence Guide identifies the critical aspects, underpinning knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- Identifying and implementing learning opportunities for others
- Giving and receiving feedback constructively
- Facilitating participation of individuals in the work of the team
- Negotiating learning plans to improve the effectiveness of learning
- Preparing learning plans to match skill needs
- Accessing and designing learning opportunities

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating some theoretical concepts.

- The 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
- Knowledge of the principles of coaching and mentoring for development of competence

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Evidence Guide

- Understanding how to work effectively with team members who have diverse work styles, aspirations, cultures and perspectives
- Understanding how to facilitate team development and improvement
- Knowledge of the organisation's policies, plans and procedures
- Understanding methods and techniques for eliciting and interpreting feedback
- Understanding methods for identifying and prioritising personal development opportunities and options
- Knowledge of career paths and competency standards in the industry

Underpinning Skills

- Literacy skills to read and understand a variety of texts; prepare general information and papers according to target audience; spell with accuracy; use grammar and punctuation effectively as an aid to understanding; maintain records of learning
- Communication skills including receiving feedback and reporting, maintaining effective relationships and conflict management
- Planning skills to organise required resources and equipment to meet learning needs
- Coaching and mentoring skills to provide support to colleagues
- Report writing skills to organise information; assess information for relevance and accuracy; identify and elaborate on learning outcomes
- Facilitation skills to conduct small group training sessions
- Time management skills for scheduling learning programs within work activities
- Ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities

Resource Implications

The learner and trainer should have access to appropriate documentation and resources normally used in the workplace

Consistency of Performance

In order to achieve consistency of performance, evidence should be collected over a set period of time which is

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Evidence Guide

sufficient to include dealings with an appropriate range and variety of situations

Context/s of Assessment

- Competency is demonstrated by performance of all stated criteria, including paying particular attention to the critical aspects and the knowledge and skills elaborated in the Evidence Guide, and within the scope as defined by the Range Statement
- Assessment must take account of the endorsed assessment guidelines in the Business Services Training Package
- Assessment of performance requirements in this unit should be undertaken in an actual workplace or simulated environment
- Assessment should reinforce the integration of the key competencies and the Business Services Common Competencies for the particular AQF Level. Refer to the Key Competency Levels at the end of this unit

Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 2	Level 2	Level 2	Level 2	Level 2	Level 2	Level 2

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – to measure team performance
- **Communicating ideas and information** – with members of the work team
- **Planning and organising activities** – for learning opportunities
- **Working with teams and others** – in completing scheduled tasks
- **Using mathematical ideas and techniques** – as an aid to measure learning outcomes
- **Solving problems** – as an aid to team-development
- **Using technology** – to manage scheduling of tasks

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSBCMN410A Coordinate implementation of customer service strategies

Unit Descriptor

This unit covers the skills and knowledge required to advise on, and carry out customer service strategies, and evaluate customer strategies on the basis of feedback and design strategies for improvement.

This unit is related to BSBCMN310A Deliver and monitor a service to customers.

Competency Field

Common

Element	Performance Criteria
1. Advise on customer service needs	1.1 Customer service *needs* are clarified and accurately assessed using appropriate *communication techniques* 1.2 Problems matching service delivery to *customers* are diagnosed and options for improved service are developed within *organisational requirements* 1.3 Advice is relevant, constructive and promotes the improvement of customer service delivery 1.4 *Business technology* is used to structure and present information on customer service needs
2. Support implementation of customer service strategies	2.1 Customer service strategies and opportunities are promoted to *designated individuals and groups* 2.2 Available budget resources are identified and allocated to fulfil customer service objectives 2.3 *Procedures to resolve customer difficulties* and *complaints* are actioned promptly within organisational requirements 2.4 *Coaching and mentoring assistance* is provided to colleagues to overcome difficulties in meeting *customer service standards* 2.5 Decisions to implement strategies are taken in consultation with designated individuals and groups
3. Evaluate and report on customer service	3.1 Client satisfaction with service delivery is reviewed using verifiable data in accordance with organisational requirements 3.2 Changes necessary to maintain service standards are identified and reported to designated groups and individuals

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Element	Performance Criteria
	3.3 Conclusions and recommendations are prepared from verifiable evidence and provide constructive advice on future directions of client service strategies
	3.4 Systems, records and reporting procedures are maintained to compare changes in customer satisfaction

Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Legislation, codes and national standards relevant to the workplace which may include:

- award and enterprise agreements and relevant industrial instruments
- 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 industry codes of practice

Customer needs may relate to:

- advice or general information
- specific information
- further information
- making an appointment
- complaints
- purchasing organisation's products and services
- returning organisation's products and services
- accuracy of information
- fairness/politeness
- prices/value

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Range Statement

Communication techniques may include:

- consultation methods, techniques and protocols
- analysing customer satisfaction surveys
- conducting interviews
- questioning
- summarising and paraphrasing
- seeking feedback to confirm understanding
- making recommendations
- obtaining management decisions
- analysing quality assurance data

Customers can be:

- internal or external
- other agencies
- individual members of the organisation
- corporate customers
- individual members of the public

Organisational requirements may include:

- quality assurances and/or procedures manuals
- goals, objectives, plans, systems and processes
- legal and organisational policy/guidelines and requirements
- Occupational Health and Safety policies, procedures and programs
- confidentiality and security requirements
- anti-discrimination and related policy
- access and equity principles and practice
- ethical standards
- quality and continuous improvement processes and standards
- defined resource parameters
- who is responsible for products or services
- pricing and discount policies
- replacement and refund policy and procedures
- payment and delivery options

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Range Statement

Business technology may include:

- photocopier
- computer
- printer
- binder
- shredder
- answering machine
- fax machine
- telephone

Designated individuals and groups may include:

- supervisor
- customers
- colleagues
- external organisation
- committee
- line management

Procedures to resolve customer difficulties may include:

- using conflict management techniques
- refund of monies
- item replacement
- referrals to supervisor
- review of products or services
- external agencies (eg Ombudsman)

Customer complaints may include:

- damaged goods or goods not delivered
- administrative errors such as incorrect invoices or prices
- warehouse or store room errors such as incorrect product delivered
- service errors
- delivery errors
- products not delivered on time
- customer satisfaction with service quality

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Range Statement

Coaching and mentoring assistance may include:

- providing feedback to another team member
- fair and ethical practice
- non-discriminatory processes and activities
- respecting the contribution of all participants and giving credit for achievements
- presenting and promoting a positive image of the collective group
- problem solving
- providing encouragement

Customer service strategies may include:

- delivery times
- price offers
- product/service availability
- product/refund guarantees
- merchandise characteristics
- courtesy/politeness

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Evidence Guide

The Evidence Guide identifies the critical aspects, underpinning knowledge and skills to be demonstrated to confirm competency for this unit. This is an integral part of the assessment of competency and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- Identifying needs and priorities of the organisation in delivering services to customers
- Distinguishing between different levels of customer satisfaction
- Providing constructive advice on customer service practices
- Responding to and reporting on customer feedback
- Designing strategies to improve delivery of products and services

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating some theoretical concepts.

- The 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
- Understanding the principles of customer services
- Understanding the organisation's business structure, products and services
- Understanding the organisation's policy and procedures for customer service including handling customer complaints
- Knowledge of product and service standards and best practice models
- Knowledge of common problems relating to customer service
- Understanding consultation methods, techniques and protocols
- Knowledge of techniques for dealing with customers with special needs

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Evidence Guide

Underpinning Skills

- Planning skills to develop implementation schedules
- Evaluation skills to assess effectiveness of customer service strategies
- Literacy skills to interpret a variety of texts; prepare information and papers; write formal and informal letters according to target audience
- Interpersonal skills to relate effectively to people from a range of social, cultural and ethnic backgrounds
- Technology skills including the ability to select and use technology appropriate to a task
- Problem solving skills to diagnose organisational problems relating to customer services
- Report writing skills to provide recommendations for the enhancement of products or services
- Ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities

Resource implications

The learner and trainer should have access to appropriate documentation and resources normally used in the workplace

Consistency of Performance

In order to achieve consistency of performance, evidence should be collected over a set period of time which is sufficient to include dealings with an appropriate range and variety of situations

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Evidence Guide

Context/s of Assessment

- Competency is demonstrated by performance of all stated criteria, including paying particular attention to the critical aspects and the knowledge and skills elaborated in the Evidence Guide, and within the scope as defined by the Range Statement
- Assessment must take account of the endorsed assessment guidelines in the Business Services Training Package
- Assessment of performance requirements in this unit should be undertaken in an actual workplace or simulated environment
- Assessment should reinforce the integration of the key competencies and the Business Services Common Competencies for the particular AQF Level. Refer to the Key Competency Levels at the end of this unit

Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 2	Level 2	Level 2	Level 2	Level 2	Level 2	Level 2

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – to monitor and report on customer services
- **Communicating ideas and information** – on products and services
- **Planning and organising activities** – to enhance products and services
- **Working with teams and others** – in completing scheduled tasks
- **Using mathematical ideas and techniques** – to determine service or product costs
- **Solving problems** – to respond to customer enquiries or complaints
- **Using technology** – to complete allocated tasks

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

BSBCMN411A Monitor a safe workplace

Unit Descriptor

This unit is concerned with OHS responsibilities of employees with supervisory responsibilities to implement and monitor the organisation's Occupational Health and Safety policies, procedures and programs in the relevant work area to meet legislative requirements. This unit has been adapted from Generic Competency B in the *National Guidelines for Integrating Occupational Health and Safety Competencies into National Industry Competency Standards* [NOHSC:7025 (1998) 2nd edition].

This unit is related to BSBCMN311A Maintain workplace safety.

Competency Field

Common

Element	Performance Criteria
1. Provide information to the work group about Occupational Health and Safety policies and procedures	1.1 Relevant provisions of *Occupational Health and Safety legislation and codes of practice* are accurately explained to the work group 1.2 Information on the *organisation's Occupational Health and Safety policies, procedures and programs* is provided in a readily accessible manner to the work group 1.3 Information about *identified hazards* and the outcomes of *risk assessment* and control is regularly provided and clearly explained to the work group
2. Implement and monitor participative arrangements for the management of Occupational Health and Safety	2.1 The importance of effective consultative mechanisms in managing health and safety risks are explained 2.2 Consultative procedures are implemented and monitored to facilitate participation of work group in management of work area hazards 2.3 Issues raised through consultation are promptly dealt with in accordance with *organisational consultation procedures* 2.4 The outcomes of consultation over Occupational Health and Safety issues are recorded and communicated promptly to the work group
3. Implement and monitor the organisation's procedures for providing Occupational	3.1 Occupational Health and Safety training needs are systematically identified in line with organisational requirements

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Element	Performance Criteria
Health and Safety training	3.2 Arrangements are made to meet Occupational Health and Safety training needs of team members in consultation with relevant individuals
	3.3 Workplace learning opportunities and coaching and mentoring assistance are provided to facilitate team and individual achievement of identified training needs
	3.4 Costs associated with provision of training for work team are identified and reported to management for inclusion in financial plans
4. Implement and monitor procedures for identifying hazards and assessing risks	4.1 Hazards in work area are identified and reported in accordance with Occupational Health and Safety policies and procedures
	4.2 Team member hazard reports are actioned promptly in accordance with organisational procedures
5. Implement and monitor the organisation's procedures for controlling risks	5.1 *Procedures to control risks* are implemented using the hierarchy of controls and organisational requirements
	5.2 Inadequacies in existing risk control measures are identified and reported in accordance with hierarchy of controls
	5.3 Outcomes of reported inadequacies are monitored where appropriate to ensure a prompt organisational response
6. Implement and monitor the organisation's procedures for maintaining Occupational Health and Safety records for the team	6.1 *Occupational Health and Safety records* of incidents of occupational injury and disease in work area are accurately completed and maintained in accordance with OHS legal requirements
	6.2 Aggregate information and data from work area records are used to identify hazards and monitor risk control procedures in work area

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Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Legislation, codes and national standards relevant to the workplace including:

- award and enterprise agreements and relevant industrial instruments
- 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 industry codes of practice

Occupational Health and Safety legislation will depend on State and Territory legislation and requirements and will include:

- common law duties to meet the general duty of care requirements
- requirements for the maintenance and confidentiality of records of occupational injury and disease
- provision of information, induction and training
- regulations and approved codes of practice relating to hazards present in work area
- health and safety representatives and health and safety committees
- prompt resolution of health and safety issues

Organisational Occupational Health and Safety policies and procedures may include:

- procedures for hazard identification
- procedures for risk assessment, selection and implementation of risk control measures
- incident (accident) investigation
- OHS audits and safety inspections
- consultative arrangements for employees in work area
- hazard reporting procedures
- safe operating procedures/instructions
- use & care of personal protective equipment
- emergency & evacuation procedures
- purchasing policy & procedures
- plant & equipment maintenance & use
- hazardous substances use and storage
- dangerous goods transport & storage
- OHS arrangements for on site contractors, visitors and members of public
- first aid provision/medical practitioner contact &

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Range Statement

	attention • site access
Identifying hazards and assessing risk may occur through activities such as:	• workplace inspections in area of responsibility • consulting work team members • housekeeping • Occupational Health and Safety audits and review of audit reports • daily informal employee consultation and regular formal employee meetings • checking equipment before and during work • review of health and safety records including hazard reports, hazardous substances and dangerous goods registers, injury records
Organisational procedures for consultation may include:	• formal and informal meetings • health and safety committees • election of health and safety representatives in accordance with legislative requirements • attendance of health and safety representatives at management and OHS planning meetings • other committees, for example, planning and purchasing • early response to employee suggestions, requests, reports and concerns put forward to management • counselling/disciplinary processes
Controlling risks may include actions such as:	• removing the cause of a risk at its source (eliminating the hazard) eg. removing stored goods permanently from emergency exit passageways • selecting control measures in accordance with the hierarchy ie work through hierarchy from most effective to least effective controls. • job/process/workplace re-design eg introduce mechanical handling equipment, re-arrange materials' flow/timing/scheduling, raise/lower work platforms. • consultation with employees and their representatives
Organisational health and safety records may include:	• audit & inspection reports • workplace environmental monitoring records • consultation eg meetings of Health & Safety Committees, work group meeting agendas including

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Range Statement

OHS items and actions

- induction, instruction & training
- manufacturer's and supplier's information including dangerous goods storage lists
- hazardous substances registers
- plant and equipment maintenance and testing reports
- workers compensation & rehabilitation records
- first aid/medical post records

Evidence Guide

The Evidence Guide identifies the critical aspects, underpinning knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- Apply organisational management systems and procedures to Occupational Health & Safety within work group area
- Identify and comply with Occupational Health and Safety legal and organisational requirements
- Apply procedures for Identifying hazards in the work area
- Apply procedures for assessing and controlling risks to health & safety associated with those hazards, in accordance with the hierarchy of control.
- Provide specific, clear and accurate information and advice on workplace hazards to work group
- Provide appropriate supervision of work group

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating some theoretical concepts.

- The 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
- Knowledge of the legal responsibilities of employers, supervisors and employees in the workplace
- Knowledge of hazards and associated risks which exist in the workplace
- Knowledge of organisation's policies and procedures relating to hazard management, fire, emergency, evacuation, incident (accident) investigating and reporting
- Understanding the relevance of consultation as a key

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Evidence Guide

mechanism for improving workplace Occupational Health and Safety culture

- Knowledge of the principles and practices of Occupational Health and safety management
- Knowledge of characteristics and composition of the workgroup

Underpinning Skills

- Analysing skills to identify hazards and assess risks in the work area
- Data analysis skills including:
  - incident (accident) monitoring
  - environmental monitoring
  - evaluation of effectiveness of risk control measures
- Assessment skills to assess resources required to apply risk control measures
- Literacy skills for comprehending documentation and interpreting Occupational Health and Safety requirements
- Technology skills including the ability to operate and shut down equipment
- Coaching and mentoring skills to provide support to colleagues
- Ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities

Resource Implications

The learner and trainer should have access to appropriate documentation and resources normally used in the workplace

Consistency of Performance

In order to achieve consistency of performance, evidence should be collected over a set period of time which is sufficient to include dealings with an appropriate range and variety of situations

Context/s of Assessment

- Competency is demonstrated by performance of all stated criteria, including paying particular attention to the critical aspects and the knowledge and skills elaborated in the Evidence Guide, and within the scope as defined by the Range Statement
- Assessment must take account of the endorsed assessment guidelines in the Business Services Training Package

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Evidence Guide

- Assessment of performance requirements in this unit should be undertaken in an actual workplace or simulated environment
- Assessment should reinforce the integration of the key competencies and the Business Services Common Competencies for the particular AQF Level. Refer to the Key Competency Levels at the end of this unit

Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 2	Level 2	Level 2	Level 2	Level 2	Level 2	Level 2

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – to obtain information to advise colleagues of safety responsibilities
- **Communicating ideas and information** – to resolve safety and environmental issues with work team
- **Planning and organising activities** – to plan resource requirements
- **Working with teams and others** – to consult on the control of risk
- **Using mathematical ideas and techniques** – to calculate resource requirements
- **Solving problems** – to investigate improved work methods
- **Using technology** – to use computing systems to access safety information

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSBCMN412A Promote innovation and change

Unit Descriptor

This unit covers the skills and knowledge required to promote the use and implementation of innovative work practices to effect change.

This unit is related to BSBCMN312A Support innovation and change.

Competency Field

Common

Element	Performance Criteria
1. Identify and develop opportunities for improved work practices	1.1 Options for change incorporate identified improvements to work practices and procedures
	1.2 *Risk factors* affecting change are analysed to identify potential constraints
	1.3 Change is planned and resourced to promote the introduction and management of new processes
	1.4 Benefits of *change* are clear and consistent with *organisational requirements*
	1.5 Timelines and targets for implementation are realistic and support the achievement of change
2. Lead team to foster innovative work practices	2.1 Team members are selected to maximise innovative opportunities
	2.2 Work assignments are organised to facilitate *innovative work skills*
	2.3 Team members are provided with guidance and coaching on innovation in the workplace
	2.4 Models of innovative work practice are provided and discussed
3. Facilitate commitment to workplace change	3.1 Opinions and suggestions on improving work practices are encouraged to facilitate participation in change processes
	3.2 Goals and objectives of change are communicated clearly and promptly to individuals and teams
	3.3 *Business technology* is used to manage and provide access to information on progress towards objectives of change
	3.4 *Mentoring and coaching* is provided to support individuals and groups in introduction of change
	3.5 Decisions to overcome problems in the implementation of change are made in consultation with designated individuals and groups

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Element	Performance Criteria
	3.6 Effective relations and communications are maintained with clients and stakeholders during the process of change
4. Monitor and evaluate change	4.1 Organisation's systems and technology are used to *monitor progress* towards objectives
	4.2 Team members are actively encouraged to reflect on team activities and opportunities for improvement and innovation
	4.3 Team activities are evaluated based on feedback from team members, management, clients and other interested people
	4.4 Suggestions for work improvements made by team members are positively received and acted on where appropriate
	4.5 *Evidence and information* on the impact of change is accurate, relevant and reported within organisational requirements
	4.6 Recommendations for improving methods or techniques to manage change are negotiated with designated individuals and groups using appropriate *negotiation skills*
	4.7 Systems, records and reporting procedures are maintained according to organisational requirements
	4.8 Feedback on individual and group work practices is prompt and constructive

Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

They may use legislation, codes and national standards relevant to the workplace including:

- award and enterprise agreements and relevant industrial instruments
- 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 industry codes of practice

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Change may include:

- implementation of new work practices and/or services
- organisational restructures
- introduction of new technology
- change in work location
- new client base
- staffing changes
- job role changes
- work priorities

Innovative work skills are:

- the skills required to come up with and develop new ideas or the new use of an old idea. They include:
  - interpretation
  - conceptualisation
  - representation
  - reflection
  - evaluation

Organisational requirements may be included in:

- quality assurances and/or procedures manuals
- goals, objectives, plans, systems and processes
- legal and organisational policy/guidelines and requirements
- Occupational Health and Safety policies, procedures and programs
- business and performance plans
- anti-discrimination and related policy
- access and equity principles and practice
- ethical standards
- quality and continuous improvement processes and standards
- defined resource parameters
- consultation and communication processes

Risk factors may include:

- disturbances to workflow
- confusion/loss of confidence
- cost blow out
- supplier problems
- product/service delivery problems
- time delays

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Business technology may include:

- computer
- internet/extranet/intranet
- email
- software
- answering machine
- fax machine
- telephone

Mentoring and coaching may include:

- providing feedback to another team member
- fair and ethical practice
- non-discriminatory processes and activities
- respecting the contribution of all participants and giving credit for achievements
- presenting and promoting a positive image of the collective group
- problem solving
- providing encouragement

Monitoring progress may include:

- weekly report
- monthly report
- consultative groups
- Occupational Health and Safety
- union delegates
- financial departments
- public profiles

Evidence and information may include:

- customer surveys
- employee satisfaction
- industrial disputes
- supplier feedback
- productivity measures
- cost savings
- marketshare data

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Negotiation skills may include:

- assertiveness
- collaboration
- solution designing
- confidence building
- conflict reduction
- stress management
- empathising

Evidence Guide

The Evidence Guide identifies the critical aspects, underpinning knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- Analysing and evaluating problems associated with change
- Developing processes to introduce change
- Establishing plans and schedules to achieve the objectives of change
- Presenting information on the causes and introduction of the change
- Communicating priorities, goals and objectives
- Gathering evidence on the effect of change

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating some theoretical concepts.

- The 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
- Understanding of common effects of change and innovation in the workplace
- Understanding of industrial and organisational context of change
- Understanding of organisation's policies, plans, procedures and structure
- Knowledge of resources required by the organisation's operations
- Understanding processes to interpret and apply feedback
- Knowledge of principles and techniques of goal

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Evidence Guide

	setting and recording priorities • Knowledge of the principles of negotiation
Underpinning Skills	• Literacy skills to read and understand a variety of texts; prepare general information and papers according to target audience; spell with accuracy; use grammar and punctuation effectively as an aid to understanding • Planning skills to schedule work activities for the implementation of change • Team work skills for working as a member of a team during period of changes • Consultation skills for including stakeholders in the change process • Analytical skills for monitoring outcomes of change • Negotiation skills for dealing with competing objectives • Estimation skills for identifying resources necessary to support introduction of change • Ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities
Resource Implications	The learner and trainer should have access to appropriate documentation and resources normally used in the workplace
Consistency of Performance	In order to achieve consistency of performance, evidence should be collected over a set period of time which is sufficient to include dealings with an appropriate range and variety of situations
Context/s of Assessment	• Competency is demonstrated by performance of all stated criteria, including paying particular attention to the critical aspects and the knowledge and skills elaborated in the Evidence Guide, and within the scope as defined by the Range Statement • Assessment must take account of the endorsed assessment guidelines in the Business Services Training Package • Assessment of performance requirements in this unit should be undertaken in an actual workplace or simulated environment • Assessment should reinforce the integration of the

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Evidence Guide

key competencies and the Business Services Common Competencies for the particular AQF Level. Refer to the Key Competency Levels at the end of this unit

Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 2	Level 2	Level 2	Level 2	Level 2	Level 2	Level 2

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – to set goals and objectives
- **Communicating ideas and information** – with members of the work team
- **Planning and organising activities** – to promote change
- **Working with teams and others** – in completing scheduled tasks
- **Using mathematical ideas and techniques** – as an aid to measure impact of change
- **Solving problems** – to diagnose problems of implementation
- **Using technology** – to manage scheduling of tasks

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

BSBCMN413A Implement and Monitor Environmental Policies

Unit Descriptor

This unit covers the implementation and monitoring of the organisation's environmental policies and procedures as an integral part of the organisation's business program. Those who work or who expect to work in a supervisory capacity would be advised to undertake this unit. It could also be useful for small business.

This unit is related to BSBCMN313A Maintain environmental procedures and BSBMGT506A Manage environmental performance. Consider co-assessment with BSBCMN411A Monitor a safe workplace.

Competency Field Common

Element	Performance Criteria
1. Provide information to the work team	1.1 *Information* provided to the work team is explained in a clear and concise manner and is readily accessible by all employees
	1.2 Organisation's *activities/performance* in regard to *environmental management and business sustainability* are conveyed to work team where required
	1.3 Links between environmental, financial, safety and other risk areas and how these are integrated in organisational policies and practices are explained
	1.4 Information on environmental systems and procedures and other risk areas within the area of management responsibility is provided
2. Implement and monitor operational procedures	2.1 Existing and potential *environmental risks* are identified and *assessed* and/or *expert advice* sought as required
	2.2 Prioritised recommendations from the assessments are carried out as part of the organisation's operational procedures
	2.3 Organisational environmental policies and procedures are implemented
	2.4 Tasks are allocated and outcomes are monitored in accordance with organisational policies and targets
	2.5 Contingency plan is implemented promptly when incidents occur

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Element	Performance Criteria
3. Implement and monitor change and continuous improvement	3.1 *Environmental improvement plans* are implemented for own work group and integrated with other operational activities 3.2 *Best practice approaches* to improving environmental performance by reducing environmental risk and waste are identified, implemented and monitored 3.3 Suggestions and ideas about environmental management are sought from the work team and acted upon where appropriate 3.4 Suggestions are sought from *supply chain*, at tender/contract stage, for ways of improving environmental performance
4. Implement and monitor recording procedures	4.1 Internal and external reporting procedures are identified and implemented as required 4.2 *Environmental records* are accurately and legibly maintained and stored securely in a form accessible for reporting purposes 4.3 Information/records are monitored to identify trends that may require remedial action, and used to promote continuous improvement of environment performance
5. Implement and monitor an environmental management training program	5.1 *Environmental training* needs are identified accurately, specifying gaps between environmental competencies required and those held by group members 5.2 Arrangements are made for fulfilling identified training needs for the work group with relevant parties

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Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Legislation, codes and national standards relevant to the workplace which may include:	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Knowledge of legislation, codes, national standards, industry codes of practice and workplace policies and procedures must:	• be strictly relevant to the particular workplace role and is not intended to include detailed technical aspects of environmental science and • details of legislation must be directly relevant to the workplace role, and would normally be delivered as a general awareness issue rather than a major part of the competencies • be consistent with the concept that people at this level, while working with some autonomy and possibly responsibility for the work of others, still generally work according to workplace policies and procedures
Information may include:	• organisational policies and procedures • relevant environmental legislation requirements • voluntary environmental agreements entered into with external organisations • continuous improvement policies and processes for the organisation • environmental data
Work team may include:	• formal or unstructured groups • two or more people
Environmental performance may be defined as:	• a measure of an organisation's impact on the environment and of their ability to manage that impact

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Some approaches to improving environmental performance may include but are not restricted to:	• preventing and minimising the production of pollution (eg discharges to air, land and water, hazardous waste) • improving housekeeping (eg using a broom instead of a hose, using old rags for cleaning instead of toxic cleaners or water) • substituting materials (eg replacing toxic solvent based coatings with water based ones) • changing processes (eg mechanical cleaning, re-design of products/ procedures so that materials are used more efficiently)
Environmental management policies must be appropriate to the scope and scale of the business and may include:	• environmental load reduction and waste minimisation • tenders for the provision of goods and services that specify environmentally preferred selection criteria • protection of land and habitat • environmentally sustainable work practices • continuous improvement policies
Business sustainability means:	• a sustainable business in this sense is profitable and competitive for the foreseeable future. Effective management of environmental impacts and opportunities can contribute to business sustainability by reducing costs, differentiating goods and services and contributing to a better corporate image.
Environmental improvement plans may be established at management level and may include:	• measuring, monitoring and recording environmental performance, and continually setting targets for measurable improvements • all aspects of environmental performance including energy use, waste minimisation, recycling, transport use etc
Expert assistance and/or advice may be sought from:	• internal or external sources/specialists • consultants or other experts or specialists
Links between environmental, financial and safety policies means:	• an integrated approach to systems within the organisation
Supply chain can be:	• a key determinant of environmental performance • a source of positive input and advice to enhance environmental performance

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Range Statement

Supply chain may include:	• suppliers • contractors • others acting on organisation's behalf
Environmental risks may be identified as:	• actual and potential sources of *waste* • pollution (eg discharges to air, land and water, hazardous waste) • planned or unplanned emissions or • any aspect of the business operation which may have an impact on environmental performance
and may be assessed:	• on an ongoing basis • with regard to probability, scale and likely impact on business and environmental performance
Environmental training program should be:	• integrated into the organisation's existing training arrangements

Evidence Guide

The Evidence Guide identifies the critical aspects, knowledge and skills to be demonstrated to confirm competency for this unit. This is an integral part of the assessment of competency and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence	• Evidence needs to be provided of the ability to implement and monitor integrated environmental management policies and procedures within an organisation. The work team must be informed of environmental and other risk areas, training needs must be addressed and records must be kept. • N.B. Particular note must be taken that evidence must be strictly relevant to the particular workplace role and is not intended to include detailed technical aspects of environmental science

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Evidence Guide

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating some theoretical concepts.

- 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
- required knowledge is to be limited to that which is sufficient to perform the particular workplace competency and is intended to promote environmental awareness rather than technical environment competencies
- relevant environmental systems and procedures
- knowledge of best practice approaches relevant to own work area
- quality assurance systems relevant to own work area
- supply chain procedures
- strategies to maximise opportunities and minimise impacts relevant to own work area
- relevant knowledge of environmental issues especially in regard to water catchments, air, noise, ecosystems, habitat, waste minimisation relevant to own work area

Underpinning Skills

- communication skills to ensure information is supplied to the work team
- consultation skills to assist in workplace negotiations
- literacy skills for comprehending documentation and interpreting environment requirements
- operational skills relevant to the workplace, including the ability to operate and shut down equipment
- ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities

Resource Implications

The learner and trainer should have access to appropriate documentation and resources normally used in the workplace

Consistency of Performance

In order to achieve consistency of performance, evidence should be collected over a set period of time which is sufficient to include dealings with an appropriate range and variety of situations

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Evidence Guide

Context/s of Assessment

- Competency is demonstrated by performance of all stated criteria, including paying particular attention to the critical aspects and the knowledge and skills elaborated in the Evidence Guide, and within the scope as defined by the Range Statement
- Assessment must take account of the endorsed assessment guidelines in the Business Services Training Package
- Assessment of performance requirements in this unit should be undertaken in an actual workplace or simulated environment
- Assessment should reinforce the integration of the key competencies and the Business Services Common Competencies for the particular AQF Level. Refer to the Key Competency Levels at the end of this unit

Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 2	Level 2	Level 2	Level 2	Level 2	Level 2	Level 2

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – to provide information and advice
- **Communicating ideas and information** – to resolve environmental issues with the work team and external contacts
- **Planning and organising activities** – to plan training and to implement change and improvement
- **Working with teams and others** – to gain support for environmental policies
- **Using mathematical ideas and techniques** – to aid planning
- **Solving problems** – to implement change and maintain procedures
- **Using technology** – to assist implementation

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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BSBCMN416A Identify risk and apply risk management processes

Unit Descriptor

This unit specifies the outcomes required to identify risks and apply established risk management processes to a subset of the organisation's operations that are within the person's own work responsibilities and area of operation.

Competency Field

Common

Domain

Risk Management

Application of the Competency

This unit addresses identifying risks, analysing and evaluating risks, treating risks and monitoring and reviewing the effectiveness of treatment of risks. Risks are those applicable within own work responsibilities and area of operation. This may include projects being undertaken individually or by a team, or to operations within a section of the organisation. Risk management processes aim to minimise potential adverse impacts and maximise continuity of operations.

This unit does not cover design, implementation or management of risk management processes. These are covered by BSBMGT512A Manage risk management system and BSBMGT611A Develop risk management strategy

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Identify risks	1.1 *Tools for identification of risks* are accessed
	1.2 *Risks* are identified
	1.3 Identified risks are documented in accordance with relevant policies, procedures and legislation
2. Analyse and evaluate risks	2.1 Causes of risks are analysed
	2.2 Potential impact of risks is determined
	2.3 Frequency of exposure to risks is determined
	2.4 Likelihood of risks is determined
	2.5 *Risks categorisation* is undertaken and *risk priorities* set
	2.6 Analysis processes and outcomes are documented
3. Treat risks	3.1 Appropriate *control measures* for risks are determined and assessed for strengths and weaknesses

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	3.2 Risks are continuously monitored
	3.3 Control measures are identified for all risks
	3.4 Risks relevant to whole of organisation or having an impact beyond own work responsibilities and area of operation are referred on to others as per established policies and procedures
	3.5 Control measures for own area of operation and/or responsibilities are chosen and implemented
	3.6 Treatment plans are prepared and implemented
4. Monitor and review effectiveness of treatment of risks	4.1 Implemented treatments are regularly reviewed against *measures of success*
	4.2 Review results are used to improve the treatment of risks
	4.3 Assistance is provided to auditing risk in own area of operation
	4.4 Management of risk in own area of operation is monitored and reviewed

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace which may include**:**	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Tools include:	• documentation to assist in process of identifying risk and assessing impact and likelihood of occurrence • standard instruments developed for the organisation and contextualised for sections of the workplace's operations, such as checklists and testing procedures • tools to prioritise risks, including where relevant, numerical scoring systems for risks
Identification of risks is undertaken:	• within established risk management processes • within own role and responsibilities as assigned in process documentation

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	• by taking reasonable steps (including consideration of possible scenarios) to ensure all risks have been identified
Risks may include those relating to:	• commercial and legal relationships • economic circumstances and scenarios • human behaviour • natural events • political circumstances • technology – technological issues • management activities and controls • individual activities
Risk categorisation:	• is within established guidelines • differentiates between risks that have high impact/consequence/likelihood and those having low impact/consequence/likelihood
Risk priorities include:	• assigning a value to identified risks using available tools • an assessment of consequences and likelihoods
Control measures may include:	• hierarchy of controls: risk aversion reduction in likelihood of risks reduction of consequences of risks transfer of responsibility of risks retention of risks
Measures of success include:	• costs • reductions in impact • reductions in likelihood • reductions in occurrence

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

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Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that they have identified and managed the risks associated with activities in their own area of operations, within their role and responsibilities, and in line with the organisation's risk management process. They will have monitored and reviewed risks and may have recommended improvements to risk management processes or procedures.

Specific Evidence Requirements

Required knowledge and understanding include:

- legislation, codes of practice and national standards relevant to organisation's operation as a business entity, for example
  - occupational health and safety (OHS), public safety and duty of care
  - company and contract law
  - industrial relations law
  - privacy, confidentiality and freedom of information
  - environmental law
  - Australian/New Zealand risk management standards
- organisational policies and procedures:
  - risk management strategy
  - policies and procedures for risk management
- auditing requirements

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities
- risk assessment and treatment skills
- auditing skills to assist in audit of own area
- monitoring, review and evaluation skills
- attributes
  - safety consciousness
  - concern for continuity of operations
  - thoroughness
  - attention to detail

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Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (1)	• communicating in writing to monitor and review risk in own area of operations • documenting risk analysis
Collecting, analysing and organising information (2)	• collecting and analysing data to monitor and review risk management in own area of operations • identifying and analysing risk processes
Planning and organising activities (1)	• planning how to identify, analyse and treat risks in own area, in line with established process
Working in a team (1)	• working with auditors, specialists, other personnel to manage risks
Using mathematical ideas and techniques (1)	• calculating costs of risk treatment options
Solving problems (2)	• applying problem-solving techniques to identification of risk and determining treatment options
Using technology (1)	• using software for document production, collation and analysis of data • using software specifically designed for risk management
Innovation skills (–)	• not applicable

Products that could be used as evidence include:

- documentation of prioritised risks
- treatment options implemented
- data and statistics related to risks including incidents and accidents, discontinuity in operations and costs associated with discontinuity
- identified improvements to risk management and treatment

Processes that could be used as evidence include:

- how risks have been identified, analysed and evaluated

	• how treatments for risk were determined and implemented • how risk in own area of operations has been monitored and reviewed
Resource implications for assessment include:	• access to workplace documentation
Validity and sufficiency of evidence requires:	• that where assessment of underpinning knowledge and skills is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • that assessment may be through simulated project-based activity or actual management of a risk in own area of operations
Integrated competency assessment means:	• that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant units

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BSBCMN419A Manage projects

Unit Descriptor

This unit covers the management of a straightforward project or a section of a larger project. It focuses on the application of project management skills and the requirement to meet timelines, quality standards, budgetary limits and other requirements set for the project.

Competency Field

Common

Domain

Project management

Application of the Competency

This unit addresses the management of projects including the development of a project plan, administering and monitoring the project, finalising the project and reviewing the project to identify lessons learnt for application to future projects.

The unit does not apply to specialist project managers. For specialist project managers, the units of competency in the Project Management domain will be applicable.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Define project	1.1 *Project scope and other relevant documentation* is accessed
	1.2 Project *stakeholders* are defined
	1.3 Clarification is sought from *delegating authority* of any issues related to project and *project parameters*
	1.4 Limits of own responsibility and reporting requirements are identified
	1.5 Relationship of project to other projects and to the organisation's objectives is clarified
	1.6 Available resources to undertake project are determined and accessed
2. Develop project plan	2.1 *Project plan* including timelines, task breakdown, roles and responsibilities is developed
	2.2 Appropriate *project management tools* are identified and accessed
	2.3 Risk management plan, which includes OHS, is formulated for project
	2.4 Project budget is developed and approved
	2.5 Team members are consulted and their views taken account of in planning the project

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	2.6	Project plan is finalised and any necessary approvals gained to commence project according to documented plan
3. Administer and monitor project	3.1	Action is taken to ensure that project team members are clear about their responsibilities and the requirements of the project
	3.2	*Support* is provided to project team members, especially with regard to special needs, to ensure that the quality of the expected outcomes of the project and documented timelines are met
	3.3	*Required record keeping systems* are established and maintained throughout the project
	3.4	Plans for managing project finances, human, physical and technical resources and quality are implemented and monitored
	3.5	Project reports are completed and forwarded as required to stakeholders
	3.6	*Risk management* is undertaken as required to ensure project outcomes are met
	3.7	Project deliverables are achieved
4. Finalise project	4.1	Financial record keeping associated with project is completed and checked for accuracy
	4.2	Staff involved in project are assigned to new roles or reassigned to previous roles
	4.3	Project documentation is completed and any necessary sign offs obtained for concluding project
5. Review project	5.1	Project outcomes and processes are reviewed against the project scope and plan
	5.2	Team members are involved in the review of the project
	5.3	Lessons learnt from project are documented and reported within the organisation

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

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Legislation, codes and national standards relevant to the workplace which may include:	• award and enterprise agreements and relevant industrial instruments • 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 industry codes of practice
Project scope and other relevant documentation refers to:	• project brief • contract or other agreement • project plan or summary • other documents outlining the expected outcomes of the project, inclusions and exclusions from project, timeframes for project, quality standards for project, project resources
Stakeholders might include:	• project sponsor • management, employees and relevant key personnel (internal and external) with special responsibilities • clients or customers (internal and external) • funding bodies
Delegating authority might include:	• project sponsor • manager or management representative • funding body • customer or client
Project parameters will include:	• scope of project • legislative and quality standards • timelines • finances for project • integration of project within organisation • risks associated with project, including OHS • reporting requirements • procurement requirements associated with project • physical, human and technical resources available or required for project
Project plan will include:	• details of how the project will be executed including management of project in relation to the project parameters identified above
Project management tools might include:	• project management software • technical resources required for the project e.g. OHS management system tools • Gantt and bar charts

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	• PERT charts • Critical Path Method • cost schedule control system • logistics support analysis • life cycle cost analysis • spreadsheets
Support for team members might include:	• supervision, mentoring and coaching • feedback • encouragement • additional physical, human and technical resources (within allocated budget) if and as required • regular meetings of project team • learning and development
Required record keeping systems might include systems for:	• financial data including costs, expenditure, income generated, purchases • quality data including any test results • recording of time spent on project and progress in completing project • correspondence • samples, prototypes, models • outcomes of project
Risk management might include:	• seeking further resources to meet deadline • negotiating an extension of deadline or redefining completion or quantities or quality of outcomes • reducing costs • researching and applying more efficient methods of completing project tasks • sharing of ideas to gain improvements to work undertaken within the project • outsourcing some aspects of the project • changing roles and responsibilities within project team
Necessary sign-offs might be required by:	• project sponsor • management • funding body • clients customers

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Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competency in this standard must be able to provide evidence that they have successfully managed projects – either a straightforward project or a section of a larger project.

This evidence will cover the application of project management skills and the meeting of timelines, quality standards, budgetary limits and other requirements set for the project.

Specific Evidence Requirements

Required knowledge and understanding include:

- organisational policies and procedures that may impact on the project and management of the project, for example:
  - OHS
  - procurement
  - human resources
  - quality standards
  - risk assessment
- organisational structure and lines of authority and communication within the organisation
- how the project relates to organisation's overall mission, goals, objectives and operations
- available learning and development options external and internal to organisation

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities
- communication and negotiation skills
  - written and verbal communication skills
  - ability to relate to team members and delegating authority, clients and customers as appropriate
- personal time management skills
- budget review and monitoring skills
- leadership and management skills
- use of project management tools
- application of quality management skills including testing and auditing as appropriate
- attributes
  - attention to detail

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- thoroughness
- communicative
- accuracy

Key competencies or generic skills relevant to this unit	The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit: Level (1) represents the competence to undertake tasks effectively Level (2) represents the competence to manage tasks Level (3) represents the competence to use concepts for evaluating and reshaping tasks. The bulleted points provide examples of how the key competencies can be applied for this unit.
Communicating ideas and information (2)	• written and verbal communication skills for report writing, documenting project, working with team members and stakeholders • negotiating and consulting with team members, stakeholders
Collecting, analysing and organising information (2)	• gathering information associated with planning, monitoring and evaluating project
Planning and organising activities (2)	• scheduling required for project • supervising project team
Working in a team (3)	• leading project team • liaising with other enterprise personnel including management, funding bodies, customers/clients, stakeholders involved in project
Using mathematical ideas and techniques (1)	• applying basic numerical skills for managing finances associated with project and procurement activity • using basic numerical skills to develop schedules for project
Solving problems (2)	• identifying potential problems that may arise in project • addressing problems arising in project
Using technology (1)	• using word processing packages to complete necessary documentation • using spreadsheets or other relevant project management software and tools
Innovation skills (2)	• determining lessons learnt from project to apply to future projects

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Products that could be used as evidence include:	• project plans • emails, letters, financial statements, other documentation relating to project management and execution • project reports • samples, prototypes, other physical products produced in project • reports of lessons learnt from review process
Processes that could be used as evidence include:	• how project scope and other relevant documentation was accessed • how project stakeholders were defined • how risk management plan was developed and implemented • how resources were determined and accessed • how project plan was formulated • how project team members were led in managing project • how project was monitored and managed • how project was finalised and closure effected • how project was reviewed
Resource implications for assessment include:	• access to workplace project documentation • reports from third parties consulted in managing projects
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • at least three examples of projects managed by the assessee • assessment may be through simulated project based activity or actual development and implementation of contracting arrangements
Integrated competency assessment:	• this unit can be assessed alone or as part of an integrated assessment activity involving other relevant common business and frontline management units associated with customer service delivery, teamwork, documentation and organising own work.

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BSBFLM501B Manage personal work priorities and professional development

Unit Descriptor

This unit specifies the outcomes required to manage own performance and professional development. Particular emphasis is on setting and meeting priorities, analysing information and using strategies to develop further competence.

Competency Field

Business management services

Domain

Frontline management

Application of the Competency

This unit replaces BSBFLM501A Manage personal work priorities and professional development.

Frontline managers are responsible for managing their own performance and professional development.

At this level, work will normally be carried out within complex and diverse methods and procedures, which require the exercise of considerable discretion and judgement using a range of problem solving and decision making strategies.

This unit builds on BSBCMN402A Develop work priorities. Consider co-assessment with BSBFLM506B Manage workplace information systems, BSBFLM511B Develop a workplace learning environment and BSBFLM512A Ensure team effectiveness.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Establish personal work goals	1.1 Personal work planning and organisation serve as a positive role model in the workplace 1.2 Personal work goals, plans and activities reflect the organisation's plans, and *own responsibilities and accountabilities* 1.3 Individual initiative is taken to achieve and extend personal work goals beyond those planned 1.4 Personal performance is measured and maintained in varying work conditions, work contexts and contingencies
2. Set and meet own work priorities	2.1 Initiative is taken to prioritise and facilitate competing demands to achieve personal, team and the organisation's goals and objectives 2.2 *Technology* is used efficiently and effectively to manage work priorities and commitments

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3. Develop and maintain professional competence	3.1 Personal knowledge and skills are assessed against *competency standards* to determine development needs, priorities and plans
	3.2 Feedback from employees, *clients and colleagues* is sought and used to identify and develop ways to improve competence
	3.3 *Development opportunities* suitable to personal learning style(s) are identified, evaluated, selected and used to develop competence
	3.4 Participation in networks is undertaken to enhance personal knowledge, skills and work relationships
	3.5 New skills are identified and developed to achieve and maintain a competitive edge

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace may include:	• award and enterprise agreements and relevant industrial instruments • relevant legislation from all levels of government that affects business operation, especially in regard to occupational health and safety (OHS) and environmental issues, equal opportunity, industrial relations and anti-discrimination • relevant industry codes of practice
OHS considerations may include:	• knowledge of OHS legislation, principles and practice within the context of the organisation's operations and plans • OHS practice as an ethical standard and legislative requirement • training of all employees in health and safety procedures, and updating of records • inclusion of OHS in personal work priorities within the context of the organisation • adjustment of communication and OHS approach to cater for social and cultural diversity and special needs
Own responsibilities and accountabilities may include:	• a statement of conduct outlining an individual's responsibilities/actions/performance • outputs as expressed in position descriptions or duty statements • expectations of workplace performance as expressed in a performance plan

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Technology may include:	• computerised systems and software such as databases, project management and word-processing • telecommunications devices • any other technology used to carry out work roles and responsibilities
Competency standards may include:	• nationally endorsed units of competency consistent with work requirements of the diploma • enterprise-specific units of competency consistent with work requirements of the diploma
Clients and colleagues may be:	• internal or external customers • team members • colleagues at the same level and more senior managers • people from a wide range of social, cultural and ethnic backgrounds and physical and mental abilities
Development opportunities may include:	• induction • mentoring • action learning • coaching • shadowing • exchange/rotation • structured training programs

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this standard must be able to provide evidence that they have the competencies to prepare personal work plans and establish personal work priorities. They must be able to show evidence of the ability to assess their own performance and to identify and act on their own professional development needs.

Specific Evidence Requirements

Required knowledge and understanding include:	• 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 • the principles and techniques involved in the management and organisation of:

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- personal goal setting
- performance measurement
- time management
- personal behaviour, self-awareness and personality traits identification
- personal development plan

- the organisation's policies, plans and procedures
- the types of work methods and practices which can improve personal performance
- the types of learning style(s) and how they relate to the individual
- the management development opportunities and options for self

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities
- functional literacy skills to interpret written and oral information about workplace requirements
- communication skills, including receiving and analysing feedback and reporting
- a range of skills to support work management and development:
  - researching information to develop personal and work plans
  - eliciting, analysing and interpreting feedback
  - analysing culturally different viewpoints and taking them into account in personal and work plans
  - monitoring workplace trends related to work role and responsibilities
  - using information systems to assist establish work plans
  - assessing the effectiveness of own management development
  - developing and maintaining professional networks

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Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks.

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (3)	• consulting with members of work team and professional networks to obtain feedback to identify and develop ways to improve competence
Collecting, analysing and organising information (3)	• measuring self-performance and developing work plan
Planning and organising activities (3)	• developing work plan and setting own priorities
Working in a team (3)	• using professional networks to aid professional development and to obtain feedback
Using mathematical ideas and techniques (1)	• using these as an aid to measure and plan personal goals
Solving problems (3)	• addressing problems related to achievement of work and development plans
Using technology (3)	• using technology to aid effective communication and aid development of plan
Innovation skills (3)	• developing and using innovative approaches to the development of personal skill development and goal setting

Products that could be used as evidence include:

- documentation produced in managing personal work priorities and professional development, such as:
  - contribution to organisational policies and procedures
  - procedures and policies for professional development, and related codes of conduct
  - actions taken to address professional development, information collection and retrieval
  - actions taken to address methods of analysing information and developing and/or maintaining a professional development information system
  - learning and development plans for self
  - actions taken to address internal and external information management issues
  - reviews of people management

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- advice and input into management decisions related to professional development

Processes that could be used as evidence include:

- how personal work planning and allocation has been managed
- examples of how individual initiative has been used and personal work goals have been extended
- how personal performance has been measured
- examples of how initiative has been taken to prioritise and facilitate competing demands to achieve goals and objectives
- how technology has been used to manage work priorities
- how personal knowledge and skills have been assessed
- how feedback has been sought from employees, clients and colleagues and acted on to develop improved competence
- how individual learning and development pathways have been developed
- how new skills have been identified and developed to gain a competitive edge

Resource implications for assessment include:

- access by the learner and trainer to appropriate documentation and resources normally used in the workplace

Validity and sufficiency of evidence requires:

- that this unit can be assessed in the workplace or in a closely simulated work environment
- that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment
- that examples of actions taken by the candidate to manage personal work priorities and professional development are provided

Integrated competency assessment means:

- that this unit should be assessed with other frontline management units taken as part of this qualification, as applicable to the candidate's leadership role in a work team and as part of an integrated assessment activity

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BSBFLM503B Manage effective workplace relationships

Unit Descriptor

This unit specifies the outcomes required to manage effective workplace relationships with particular regard to communication and representation. This involves analysing and communicating information, establishing systems to develop and maintain effective working relationships and networks, and implementing strategies to overcome difficulties.

Competency Field

Business management services

Domain

Frontline management

Application of the Competency

This unit replaces BSBFLM503A Establish effective workplace relationships.

Frontline managers play an important role in developing and maintaining positive relationships in internal and external environments so that employees, customers, suppliers and the organisation achieve planned outputs and outcomes. They play a prominent part in motivating, mentoring, coaching and developing team cohesion through providing leadership for the team and forming the bridge between the management of the organisation and the team members.

At this level, work will normally be carried out within complex and diverse methods and procedures, which require the exercise of considerable discretion and judgement using a range of problem solving and decision making strategies.

This unit builds on BSBFLM403B Implement effective workplace relationships. Consider co-assessment with BSBFLM512A Ensure team effectiveness.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Manage information and ideas	1.1 *Strategies and processes* are put in place to ensure that *information* associated with the achievement of work responsibilities is collected from appropriate *sources* and communicated to all stakeholders
	1.2 *Strategic planning* and *operational planning* is conducted to ensure that communication of ideas and information is appropriate to the audience and is sensitive to social and cultural diversity and any special needs

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	1.3 *Consultation processes* are developed and/or implemented to ensure that employees have the opportunity to contribute to issues related to their work and that feedback on outcomes of the consultation process is received
	1.4 *Policies* are established and/or implemented to ensure that contributions from internal and external sources are sought and valued in developing and refining new ideas and approaches
	1.5 *Processes and procedures* are developed and/or implemented to ensure that issues raised are resolved promptly or referred to *relevant personnel* as required
2. Establish systems to develop trust and confidence	2.1 Policies are established and/or implemented to ensure that people are treated with integrity, respect and empathy, and that the *organisation's social, ethical and business standards* are used to develop and maintain effective relationships
	2.2 Trust and confidence of *employees, colleagues, customers and suppliers* is gained and maintained through competent performance
	2.3 Own interpersonal styles and methods are adjusted to the organisation's social and cultural environment and members of the work team are guided and supported in their personal adjustment process
3. Manage the development and maintenance of networks and relationships	3.1 Strategic *networks* and other work relationships are used to identify and build relationships to provide identifiable benefits for the team and for the organisation
	3.2 Ongoing planning and implementation are conducted to ensure that effective workplace relationships are developed and maintained
4. Implement strategies to manage difficulties to achieve positive outcomes	4.1 Strategies are developed and/or implemented to ensure that difficulties are identified and analysed, and that an action plan is developed to rectify the situation in accordance with organisational requirements and relevant legislation
	4.2 *Guidance, counselling and support* are extended to colleagues in their efforts to resolve work difficulties
	4.3 Processes to ensure the identification and management of poor work performance are developed and managed within the organisation's processes

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4.4 Processes and systems are established to ensure that conflict is identified and managed constructively within the organisation's processes

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace may include:	• award and enterprise agreements and relevant industrial instruments • relevant legislation from all levels of government that affects business operation, especially in regard to occupational health and safety (OHS) and environmental issues, equal opportunity, industrial relations and anti-discrimination • relevant industry codes of practice
OHS considerations may include:	• knowledge of OHS legislation, principles and practice within the context of the organisation's operations and plans • OHS practice as an ethical standard and legislative requirement • training of all employees in health and safety procedures, and updating of records • organisation's responsibilities to customers and suppliers • adjustment of communication and OHS approach to cater for social and cultural diversity and special needs
Strategies and processes may include:	• long-term or short-term plans factoring in opportunities for team input • individual and team performance plans • clarification of roles and expectations • questionnaires, surveys, interviews • policies and procedures • training and development activities • communication devices, such as intranet and email communication systems, newsletters, reports
Information may be:	• data appropriate to work roles and organisational policies that is shared and retrieved in writing or verbally, electronically or manually such as: - policies and procedures

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- planning and organisational documents including the outcomes of continuous improvement and quality assurance
- marketing and customer-related data
- archived, filed and historical background data
- individual and team performance data

Sources may be:

- internal or external customers such as:
  - supervisors
  - team members
  - fellow frontline managers
  - clients, purchasers of services
  - contractors
- in print format such as team reports
- non-print including verbal reports
- annotated performance plans
- productivity, data outputs and inputs
- human resource information such as rates of absenteeism and workplace participation data

Strategic planning may refer to:

- formal processes for determining the organisation's strategic direction and strategies for achieving it within the context of the organisation's strategic plan including:
  - research of the internal and external environment including scenario planning, forecasting, looking over the horizon, risk analysis, market analysis, review of performance indicators and data analysis
  - consultation through mechanisms such as focus groups, interviews, surveys, questionnaires, meetings

Operational planning may refer to:

- processes to develop plans for specific tactical responses to the marketplace and the day-to-day plans associated with the production and delivery of a service or product including:
  - review of performance indicators and data analysis
  - consultation through mechanisms such as focus groups, interviews, surveys, questionnaires, invitations to respond to drafts, team and operational meetings

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Consultation processes may include:	• the development or implementation of a process which ensures that all employees have the opportunity to contribute to workplace issues • feedback to the work team in relation to outcomes of the consultation process
Policies may refer to:	• organisational guidelines and systems that govern operational functions • statements of commitment to action • frameworks
Processes and procedures may include:	• sets of accepted actions approved by the organisation • organisational tasks and activities undertaken to meet performance outcomes • Standard Operating Procedures • Materials Safety Data Sheets
Relevant personnel may include:	• managers • supervisors • other employees • union representatives/employee groups • Board members • OHS committees and other people with specialist responsibilities
The organisation's social, ethical and business standards may refer to:	• written standards such as those expressed in: - vision and mission statements - policies - code of workplace conduct/behaviour - dress code - statement of workplace values • implied standards such as honesty and respect relative to the organisation culture and generally accepted within the wider community • standards expressed in legislation and regulations such as anti-discrimination legislation • rewards and recognition for high performing staff
Employees, colleagues, customers and suppliers may refer to:	• team members • employees at the same level, supervisors and more senior managers • internal and/or external contacts • people from a wide variety of social, cultural and ethnic backgrounds

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Networks may be:	• internal and/or external • with individuals or groups • through established structures or unstructured arrangements
Guidance, counselling and support may be:	• informal support provided by frontline managers including discussion of issues and exploration of mechanisms to resolve problems within organisational guidelines • formal and professional support and guidance arranged from alternative internal or external sources within organisational guidelines

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that they are able to manage the process of accessing and analysing information to achieve planned outcomes, communicate information and ideas to a range of stakeholders and they must be able to manage a process which facilities the development and maintenance of positive work relationships, they must be able to encourage the development of trust and confidence within the work team and resolve problems and conflicts effectively and efficiently.

Specific Evidence Requirements

Required knowledge and understanding include:	• 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 • the principles and techniques involved in the management and organisation of: - the organisation's information - policy development - strategic and operational planning and working strategically • effective workplace relationship through: - developing trust and confidence - fostering of consistent behaviour in work relationships - identifying the cultural and social environment

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- identifying and assessing interpersonal styles
- developing, maintaining and managing networks
- problem identification and resolution
- handling conflict
- consultation and communication techniques
- managing poor work performance
- managing relationships to achieve strategic planning responsibilities
- monitoring, managing and introducing ways to improve work relationships
- contributing to the elimination of discrimination/bias

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities
- functional literacy skills to access and use workplace information
- research, analysis, interpretation and reporting skills
- a range of communication and other skills that support effective workplace relationships:
  - responding to unexpected demands from a range of people
  - using consultative processes effectively
  - forging effective relationships with internal and/or external people and developing, maintaining and managing these networks
  - gaining the trust and confidence of colleagues
  - dealing with people openly and fairly
  - using coaching and mentoring skills to provide support to colleagues

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks.

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (3)

- consulting with a variety of stakeholders both within and outside the organisation, including individuals and members of the work team
- providing guidance and counselling support to team members

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Collecting, analysing and organising information (3)	• establishing processes to facilitate effective workplace relationships and to facilitate the development of networks
Planning and organising activities (3)	• building strategic networks to enhance workplace opportunities both within and outside the organisation
Working in a team (3)	• managing strategies to facilitate effective workplace relationships
Using mathematical ideas and techniques (2)	• using appropriate calculations to assist strategic planning
Solving problems (3)	• facilitating effective workplace relationships and communication processes, especially in the area of conflict resolution and as an aid to decision making
Using technology (2)	• using technology to assist in the management of information
Innovation skills (3)	• developing strategic networks to plan for effective workplace relationships and to achieve effective communication at all levels of the organisation and with external contacts

Products that could be used as evidence include:

- documentation produced in managing effective workplace relationships, such as:
  - contribution to organisational policies and procedures
  - procedures and policies for dealing with diversity, and related codes of conduct
  - actions taken including advice and input into management decisions to address social and ethical standards in the workplace
  - actions taken including advice and input into management decisions to address issues and problems within the work team
  - actions taken to address methods of accessing networks and developing strategic contacts within and outside the organisation
  - learning and development plans for team members
  - materials developed for coaching, mentoring and training
  - induction programs developed and/or delivered
  - actions taken to address internal and external communication processes
  - reviews of people management

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- advice and input into management decisions related to the work team
- records of people management lessons learned
- records of OHS consultation

Processes that could be used as evidence include:

- how strategies have been developed to ensure that information was collected and accessed
- how strategic and operational planning was conducted
- how policies were established, and contributions sought and used to develop new ideas and approaches
- how the organisation's social and ethical standards have been used within workplace relationships
- how trust and confidence have been developed and maintained
- how interpersonal styles and methods were adjusted to the organisation's social and cultural environment
- how strategic networks were used to build relationships
- how ongoing planning and implementation has been conducted
- how strategies were developed to ensure that difficulties are addressed and solutions planned
- how colleagues were counselled, guided and supported to resolve work difficulties
- examples of how poor work performance and conflict was managed

Resource implications for assessment include:

- access by the learner and trainer to appropriate documentation and resources normally used in the workplace

Validity and sufficiency of evidence requires:

- that this unit can be assessed in the workplace or in a closely simulated work environment
- that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment
- that examples of actions taken by the candidate to manage effective workplace relationships are provided

Integrated competency assessment means:

- that this unit should be assessed with other frontline management units taken as part of this qualification, as applicable to the candidate's leadership role in a work team and as part of an integrated assessment activity

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BSBFLM505B Manage operational plan

Unit Descriptor

This unit specifies the outcomes required to develop and monitor the implementation of the operational plan to provide efficient and effective workplace practices within the organisation's productivity and profitability plans. Management at a strategic level requires systems and procedures to be developed and implemented to facilitate the organisation's operational plan.

Competency Field

Business management services

Domain

Frontline management

Application of the Competency

This unit replaces BSBFLM505A Manage operational plan.

Frontline managers have a key role managing individuals within work teams/groups. They play an important part in managing the performance of people who report to them directly.

At this level, work will normally be carried out within complex and diverse methods and procedures which require the exercise of considerable discretion and judgement, using a range of problem solving and decision making strategies.

This unit builds on BSBFLM405B Implement operational plan. Consider co-assessment with BSBFLM503B Manage effective workplace relationships, BSBFLM506B Manage workplace information systems, BSBMGT505A Ensure a safe workplace, BSBFLM509B Facilitate continuous improvement and BSBFLM512A Ensure team effectiveness.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Develop operational plan	1.1 *Resource requirements* are researched, analysed and documented and an operational plan is *developed and/or implemented* in consultation with *relevant personnel, colleagues and specialist resource managers*
	1.2 *Consultation processes* are developed and/or implemented as an integral part of the operational planning process
	1.3 *Operational plans* are developed to contribute to the achievement of the organisation's performance/business plan
	1.4 Details of the operational plan include the development of *key performance indicators* to measure organisational performance
	1.5 *Contingency plans* are developed and implemented at appropriate stages of operational planning

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	1.6 The development and presentation of proposals for resource requirements are assisted by a variety of information sources, and specialist advice is sought as required
2. Plan and manage resource acquisition	2.1 Strategies are developed and implemented to ensure that employees are recruited and/or inducted within the organisation's human resource management policies and practices
	2.2 Strategies are developed and implemented to ensure that physical resources and services are acquired in accordance with the *organisation's policies, practices and procedures*
3. Monitor and review operational performance	3.1 Performance systems and processes are developed, monitored and reviewed to assess progress in achieving profit and productivity plans and targets
	3.2 Budget and actual financial information is analysed and interpreted to monitor and review profit and productivity performance
	3.3 Areas of under performance are identified, solutions recommended, and prompt action is taken to rectify the situation
	3.4 Systems are planned and implemented to ensure that mentoring and coaching are provided to support individuals and teams to use resources effectively, economically and safely
	3.5 Recommendations for variations to operational plans are negotiated and approved by *designated persons/groups*
	3.6 Systems are developed and implemented to ensure that procedures and records associated with documenting performance are managed in accordance with the organisation's requirements

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace may include:

- award and enterprise agreements and relevant industrial instruments
- relevant legislation from all levels of government that affects business operation, especially in regard to occupational health and safety (OHS) and environmental issues, equal opportunity, industrial relations and anti-discrimination
- relevant industry codes of practice

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OHS considerations may include:	• knowledge of OHS legislation, principles and practice within the context of the organisation's operations and plans • OHS practice as an ethical standard and legislative requirement • training of all employees in health and safety procedures • update and review of organisation's OHS systems, procedures and records • organisation's procedures for dealing with hazardous events • adjustment of communications and OHS approach to cater for social and cultural diversity and special needs • inclusion of OHS in key performance indicators
Resource requirements may include:	• human, physical and financial resources – both current and projected • stock requirements and requisitions • good and services to be purchased and ordered
Developed and/or implemented in some cases may mean that:	• the operational plan has been developed at a higher or specialist level and that a frontline manager may have little or no input to its development
Relevant personnel, colleagues and specialist resource managers may include:	• managers • supervisors • other employees • OHS committee(s) and other people with specialist responsibilities • union or employee representatives • people at the same level or more senior managers • people from a wide range of social, cultural and ethnic backgrounds
Consultation processes may refer to:	• meetings, interviews, brainstorming sessions, email/intranet communications, newsletters or other processes and devices which ensure that all employees have the opportunity to contribute to team and individual operational plans • mechanisms used to provide feedback to the work team in relation to outcomes of consultation
Operational plans may include:	• tactical plans developed by the department or section to detail product and service performance • organisational plans

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Key performance indicators may refer to:	• measures for monitoring or evaluating the efficiency or effectiveness of a system which may be used to demonstrate accountability and to identify areas for improvements
Contingency plans may include:	• rental, hire purchase or alternative means of procurement of required materials, equipment and stock • contracting out or outsourcing human resource and other functions or tasks • restructuring of organisation to reduce labour costs • strategies for reducing costs, wastage, stock or consumables • diversification of outcomes • recycling and re-use • finding cheaper or lower quality raw materials and consumables • seeking further funding • increasing sales or production • risk identification, assessment and management processes • succession planning
The organisation's policies, practices and procedures may include:	• those organisational guidelines which govern and prescribe operational functions, such as the acquisition and management of human and physical resources • Standard Operating Procedures • undocumented practices in line with organisational operations • organisational culture
Designated persons/groups may include:	• managers or supervisors whose roles and responsibilities include decision making on operations • other work groups or teams whose work will be affected by recommendations for variations • groups designated in workplace policies and procedures • other stakeholders such as Board members

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

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Overview of Assessment Requirements

A person who demonstrates competence in this standard must be able to provide evidence of their ability to manage the implementation of the operational plans for department or section. This will include acquisition and use of resources, contingency planning, financial information and budgets, performance reports, and evidence of a system to monitor and adjust operational performance plans as required.

Specific Evidence Requirements

Required knowledge and understanding include:

- 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
- the principles and techniques involved in the management and organisation of:
  - planning and managing operations
  - consultation and communication
  - contingency planning
  - resource planning and acquisition
  - resource management systems
  - budgeting and financial analysis and interpretation
  - monitoring and review of performance systems and processes
  - reporting performance
  - problem identification and resolution
- alternative approaches to improving resource usage and eliminating resource inefficiencies and waste
- ways of supporting individuals/teams who have difficulty in performing to the required standard

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities
- functional literacy skills to access and use workplace information
- skills to:
  - monitor and review a safe workplace and environment
  - access and use feedback to improve operational performance
  - prepare recommendations to improve operational plans
  - access and use established systems and processes

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	• coaching and mentoring skills to provide support to colleagues
Key competencies or generic skills relevant to this unit	The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit: Level (1) represents the competence to undertake tasks effectively Level (2) represents the competence to manage tasks Level (3) represents the competence to use concepts for evaluating and reshaping tasks. The bulleted points provide examples of how the key competencies can be applied for this unit.
Communicating ideas and information (3)	• sharing information with all stakeholders, including members of work teams to manage the facilitation of the operational plan • negotiating variation to operational plans
Collecting, analysing and organising information (3)	• acquiring information for reporting and planning purposes to aid in the development and management of the operational plan
Planning and organising activities (3)	• planning resource acquisition and usage including human resources and contingency planning
Working in a team (3)	• managing the operation to achieve planning outcomes, especially in regard to team effectiveness
Using mathematical ideas and techniques (2)	• developing, analysing and monitoring budget and financial plans
Solving problems (3)	• developing and managing risk management and contingency plans and addressing unsatisfactory performance in all areas of the operation
Using technology (2)	• using technology to assist the management of information and to aid the planning process
Innovation skills (3)	• managing the team's operations by developing innovative operational plans to achieve organisational outcomes
Products that could be used as evidence include:	• documentation produced while managing the operational plan, such as: - operational plan - rosters and staff allocation - resource planning - actions taken to address resource shortfalls - financial plans and budgets - contingency planning - risk management plans

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- learning and development plans for team members
- materials developed for coaching, mentoring and training
- induction programs developed and/or delivered
- actions taken to address poor, unsafe or excellent performance
- actions taken to address issues and problems within work team
- reviews of people management
- advice and input into management decisions related to the operational plan
- records of people management lessons learned

Processes that could be used as evidence include:

- how resource requirements have been researched and analysed, and management procedures addressed
- how work has been allocated within work team, and the rationale for allocation
- how strategies have been developed/implemented to ensure that employees were recruited and resources acquired
- how financial plans and budgets were formulated
- how the operational plan was developed and/or managed
- how key performance indicators were developed and used
- how contingency planning was undertaken
- how team members were guided and supported in performing their role, including induction process for new team members
- how individual learning and development pathways were developed
- how performance management system was implemented within work team and how areas of under performance were identified and addressed
- how problems and issues within the work team were addressed
- how input and advice was provided to management in relation to human resource management of the work team
- how own people management processes were reviewed and evaluated, and improvements identified, reported and acted upon

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Resource implications for assessment include:	• access by the learner and trainer to appropriate documentation and resources normally used in the workplace
Validity and sufficiency of evidence requires:	• that this unit can be assessed in the workplace or in a closely simulated work environment • that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • that examples of actions taken by the candidate to manage the operational plan are provided
Integrated competency assessment means:	• that this unit should be assessed with other frontline management units taken as part of this qualification, as applicable to the candidate's leadership role in a work team and as part of an integrated assessment activity

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BSBFLM506B Manage workplace information systems

Unit Descriptor

This unit specifies the outcomes required to manage the identification, acquisition, analysis and use of appropriate information which plays a significant part in the organisation's effectiveness. Particular emphasis is on the development of systems and the analysis of information.

Competency Field

Business management services

Domain

Frontline management

Application of the Competency

This unit replaces BSBFLM506A Manage workplace information systems.

Frontline managers, in identifying, acquiring, analysing and using appropriate information, play a significant role in contributing to the organisation's effectiveness.

At this level, work will normally be carried out within complex and diverse methods and procedures which require the exercise of considerable discretion and judgement, using a range of problem solving and decision making strategies.

This unit builds on BSBFLM406B Implement workplace information system. Consider co-assessment with BSBFLM505B Manage operational plan, BSBFLM507B Manage quality customer service, BSBMGT505A Ensure a safe workplace, BSBFLM509B Facilitate continuous improvement and BSBFLM512A Ensure team effectiveness.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Utilise information systems	1.1 Strategies are developed to ensure effective use of organisational information systems, so that *information* required by teams can be determined and found
	1.2 Information held by the organisation is accessed and reviewed to determine suitability, accessibility, currency and reliability
	1.3 *Strategies* are developed to source and obtain information which is not immediately available/accessible
2. Collect, analyse and review information	2.1 Systems are developed to ensure that collection of information is timely, adequate, relevant to the needs of teams, and is in a format suitable for analysis, interpretation and dissemination

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	2.2	Information is analysed to identify and report relevant trends and developments to support the strategic planning process
3. Manage the information systems	3.1	Strategies are developed to ensure that management information systems are used effectively to store and retrieve data to aid the decision making process
	3.2	Strategies are developed and implemented to ensure that *technology* available in the work area is used to manage information effectively
	3.3	Strategies are developed and implemented to improve the information system, and communicated to *designated groups* as required
4. Develop business plan/budgets	4.1	Strategies are developed to maximise team involvement in business plans and/or budget preparation in a way which uses their contribution effectively and contributes to gaining support for the outcomes
	4.2	*Business plans and/or budgets* are prepared and presented in accordance with the organisation's guidelines and requirements
	4.3	*Contingency plans* are developed as part of the strategic planning process
5. Manage resource planning	5.1	Resource proposals are developed in consultation with *relevant stakeholders* using all available planning information
	5.2	Estimates of resource needs and use reflect the organisation's business plans, and customer and supplier requirements
	5.3	Proposals to secure resources are supported by clearly presented submissions describing realistic options, benefits, costs and outcomes

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace may include:

- award and enterprise agreements and relevant industrial instruments
- relevant legislation from all levels of government that affects business operation, especially in regard to occupational health and safety (OHS) and environmental issues, equal opportunity, industrial relations, anti-discrimination and record keeping standards and legislation
- relevant industry codes of practice

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OHS considerations may include:	• knowledge of OHS legislation, principles and practice within the context of the organisation's operations and plans • health and safety procedures at the workplace relevant to employees, including the use and maintenance of risk control measures • OHS practice as an ethical standard and legislative requirement • training of all employees in health and safety procedures, and regular updating of OHS systems • inclusion of OHS in business plans • inclusion of OHS in resource proposals • adjustment of OHS approach to cater for social and cultural diversity and special needs
Information may include:	• data shared and retrieved in various forms such as in writing or verbally, electronically or manually • policies and procedures • planning and organisational documents • organisational performance data • financial and contractual data • marketing and customer-related data • continuous improvement and quality assurance data • archived, filed and historical background data • data available internally or externally
Strategies may refer to:	• long-term or short-term plans for obtaining storing and retrieving information • dialogue with personnel holding information • training activities • questionnaires, surveys and interviews
Technology may include:	• computerised systems and software such as databases, project management and word-processing • telecommunications devices • any other technology used to carry out work roles and responsibilities
Designated groups may include:	• managers or supervisors whose roles and responsibilities concern information systems • other work groups or teams whose work will be affected by the system • groups designated in workplace policies and procedures • other stakeholders accessing the information system such as customers and service providers

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Business plans and/or budgets may refer to:	• long-term budgets/plans • short-term budgets/plans • operational plans • spreadsheet-based financial projections • cash flow projections • targets or key performance indicators (KPIs) for production, productivity, wastage, sales, income and expenditure
Contingency plans may include:	• rental, hire purchase or alternative means of procurement of required materials, equipment and stock • contracting out or outsourcing human resource and other functions or tasks • restructuring of organisation to reduce labour costs • strategies for reducing costs, wastage, stock or consumables • diversification of outcomes • recycling and re-use • finding cheaper or lower quality raw materials and consumables • seeking further funding • increasing sales or production • risk identification, assessment and management processes • succession planning
Relevant stakeholders may include:	• internal and external contacts • senior management and Board members • individuals within the work team • the organisation's clients and customers • business or government contacts • funding bodies • professional associations • unions/employee groups

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Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this standard must be able to provide evidence that they are able to access, use and communicate workplace information. They must be able to show evidence of the ability to manage the design of the workplace information system to facilitate the operational plan. They must be able to provide feedback on how to improve the management information system and research and prepare financial and resource plans/proposals.

Specific Evidence Requirements

Required knowledge and understanding include:

- 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
- the principles and techniques involved in the management and organisation of:
  - strategy development and implementation which facilitates workplace information systems
  - accessing and assessing information
  - contingency planning
  - problem identification and resolution
  - leadership and mentoring techniques
  - information systems
  - development of resource proposals
- consultation and communication techniques
- methods of collecting, analysing, reviewing and reporting information
- financial concepts in business plans and budgets
- methods to gain efficiencies in resource management

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities
- functional literacy skills to access and use workplace information
- communication skills
- research skills including collecting, analysing, interpreting and reporting information

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- skills to identify current and future planning for information requirements of the team
- information management skills
- skills to improve information usage in decision making
- information presentation skills
- coaching and mentoring skills to provide support to colleagues
- technology skills to extract/input/present information

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks.

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (3)	• communicating verbally with stakeholders, especially individuals and members of the work team, to obtain information and feedback and to discuss strategies • communicating in writing, including submissions on proposals to secure resources, business plans, budgets, systems and strategies
Collecting, analysing and organising information (3)	• accessing a range of information to assist in the development and/or implementation of the information system • analysing data, information and feedback to identify trends • ensuring the system is appropriate for information storage and retrieval
Planning and organising activities (3)	• preparing business plans, budgets and proposals • undertaking risk management and contingency planning
Working in a team (3)	• developing and maintaining the information management system in consultation with work team and other stakeholders • maintaining team cohesion and effectiveness
Using mathematical ideas and techniques (2)	• making budget calculations to aid financial planning
Solving problems (3)	• addressing problems related to the development and implementation of the information system

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Using technology (2)	• using appropriate technology to assist in the management of information
Innovation skills (3)	• developing an innovative approach to the development of the information system to enhance business operations
Products that could be used as evidence include:	• documentation produced in managing the workplace information system, such as: - contribution to organisational policies and procedures - procedures and policies for dealing with information management systems, and related codes of conduct - actions taken to develop an information system and address issues of information collection, retrieval and analysis - strategies developed to ensure management information system is used effectively - actions taken to address internal and external information management issues and problems - advice and input into management decisions related to management information systems - budgets and business plans developed - contingency plans developed - resource proposals - learning and development plans for team - materials developed for coaching, mentoring and training - induction programs developed and/or delivered - actions taken to address issues and problems - reviews of people management - records of people management lessons learned
Processes that could be used as evidence include:	• how strategies have been developed to ensure the organisational information system is utilised • how the system has been managed to ensure that information is collected efficiently and effectively • how strategies ensure information is accessed and reviewed • how record keeping systems have been managed • how systems have been designed to store and use data for the decision making process • how systems have been designed to ensure that technology is used to manage information effectively

	• examples of how strategies have been designed and used to improve the information system • how strategies were developed to maximise team involvement in budgets and planning • how budgets, business and contingency plans were prepared and presented • how resource proposals were developed and consulted on
Resource implications for assessment include:	• access by the learner and trainer to appropriate documentation and resources normally used in the workplace
Validity and sufficiency of evidence requires:	• that this unit can be assessed in the workplace or in a closely simulated work environment • that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • that examples of actions taken by the candidate to manage workplace information systems are provided
Integrated competency assessment means:	• that this unit should be assessed with other frontline management units taken as part of this qualification, as applicable to the candidate's leadership role in a work team and as part of an integrated assessment activity

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BSBFLM507B Manage quality customer service

Unit Descriptor

This unit specifies the outcomes required to develop strategies to manage organisational systems that ensure products and services are delivered and maintained to standards agreed by the organisation and the customer.

Competency Field

Business management services

Domain

Frontline management

Application of the Competency

This unit replaces BSBFLM507A Manage quality customer service.

Frontline managers are involved in ensuring that products and services are delivered and maintained to standards agreed by the organisation and the customer. They work within the context of the organisation's policies and practices as well as legislation, conventions and codes of practice.

At this level, work will normally be carried out within complex and diverse methods and procedures which require the exercise of considerable discretion and judgement, using a range of problem solving and decision making strategies.

This unit builds on BSBCMN410A Coordinate implementation of customer service strategies. Consider co-assessment with BSBFLM512A Ensure team effectiveness, BSBFLM506B Manage workplace information system, BSBMGT505A Ensure a safe workplace, and BSBFLM509B Facilitate continuous improvement.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Plan to meet internal and external customer requirements	1.1 The needs of *customers* are investigated, understood and assessed, and included in planning processes
	1.2 Plans achieve the *quality*, time and cost specifications agreed with customers
2. Ensure delivery of quality products and/or services	2.1 Products and/or services are delivered to customer specifications within the team's business plan
	2.2 Team performance is managed to consistently meet the organisation's quality and delivery standards
	2.3 Leadership, supervision, coaching and mentoring assist colleagues to overcome difficulty in meeting customer service standards

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3. Monitor, adjust and review customer service	3.1 *Strategies* to monitor progress in achieving product and/or service targets and standards are developed and used
	3.2 Strategies to obtain customer feedback are developed and used to improve the provision of products and/or services
	3.3 *Resources* are developed, procured and used effectively to provide quality products and/or services to customers
	3.4 Decisions to overcome problems and to adapt customer service and products and/or service delivery are taken in consultation with appropriate individuals and groups
	3.5 Records, reports and recommendations are managed within the organisation's systems and processes

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace may include:	• award and enterprise agreements and relevant industrial instruments • relevant legislation from all levels of government that affects business operation, especially in regard to occupational health and safety (OHS) and environmental issues, equal opportunity, industrial relations, anti-discrimination and record keeping standards and legislation • relevant industry codes of practice
OHS considerations may include:	• knowledge of OHS legislation, principles and practice within the context of the organisation's operations and plans • OHS practice as an ethical standard and legislative requirement • training of all employees in health and safety procedures • regular updating and reviewing of the organisation's OHS systems, procedures and records • organisation's responsibilities to customers and suppliers • adjustment of communications and OHS approach to cater for social and cultural diversity and special needs

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Customers may be:	• co-workers, peers and fellow frontline managers • supervisors • Board members • clients, purchasers of services • members of the general public who make contact with the organisation, such as prospective purchasers of services • suppliers of goods and services and contractors providing goods and services • potential funding bodies
Quality may refer to:	• the characteristics of a product , system, service or process meets the requirements of customers and interested parties
Strategies may refer to:	• policies and procedures • long-term or short-term plans for monitoring achievement and evaluating effectiveness • feedback forms and other devices to enable communication from customers • electronic feedback mechanisms using intranet, internet and email • training and development activities • questionnaires, survey and interviews • databases and other controls to record and compare data over time
Resources may include:	• people • power/energy • information • finance • buildings/facilities • equipment • technology • time

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

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Overview of Assessment Requirements

A person who demonstrates competence in this standard must be able to provide evidence that they are able to develop strategies designed to meet customer needs; provide quality service; review and improve service; develop processes to access and follow-up customer feedback; and manage a system for reporting/recording customer service outcomes.

Specific Evidence Requirements

Required knowledge and understanding include:

- 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
- the organisation's policies and procedures for dealing with customers
- the principles and techniques involved in the management and organisation of:
  - customer needs research
  - strategies to obtain customer feedback
  - customer relations
  - customer behaviour
  - problem identification and resolution
  - quality customer service delivery
  - ongoing product and/or service quality
  - record keeping and management methods
  - strategies for monitoring, managing and introducing ways to improve customer service relationships
- consultation and communication techniques
- leadership and mentoring techniques
- management of relationships to achieve strategic planning responsibilities
- strategies for contributing to the elimination of discrimination/bias

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities
- functional literacy skills to access and use workplace information
- communication skills
- skills to research, analyse and report information
- planning and organising skills
- team work skills
- problem-solving skills to deal with complex and non-routine difficulties

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- technology skills at the appropriate level
- coaching and mentoring skills to provide support to colleagues

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks.

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (3)	• consulting with others on customer needs and to report on customer service outcomes
Collecting, analysing and organising information (3)	• ensuring that appropriate strategies are in place to collect, organise and monitor customer information
Planning and organising activities (3)	• planning to meet customer needs and to manage a system for reporting/recording customer service outcomes
Working in a team (3)	• using leadership, supervision, coaching and mentoring to manage team performance • consulting with team members on planning, delivery and improvement
Using mathematical ideas and techniques (2)	• undertaking calculations associated with customer service
Solving problems (3)	• identifying and resolving deficiencies in customer service and developing strategies to improve service
Using technology (2)	• using technology to assist the management of customer information
Innovation skills (3)	• developing an innovative approach to the development of strategies to improve customer service provision

Products that could be used as evidence include:

- documentation produced in managing quality customer service, such as:
  - contribution to organisational policies and procedures
  - procedures and policies for dealing with customer service provision, and related codes of conduct
  - actions taken to address customer service information collection and retrieval

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- actions taken to address methods of analysing information and developing and/or maintaining a customer service information system
- actions taken to address internal and external customer service issues
- advice and input into management decisions related to customer service
- learning and development plans for team members
- materials developed for coaching, mentoring and training
- induction programs developed and/or delivered
- actions taken to address issues and problems within work team
- reviews of people management
- records of people management lessons learned

Processes that could be used as evidence include:

- how customers needs have been addressed
- how planning was conducted and specifications achieved
- how products and/or services have been delivered
- how team performance was managed
- how team members were guided and supported in performing their role
- examples of strategies developed to monitor customer service and to obtain customer feedback
- examples of resources developed to provide for customers needs
- examples of strategies to adapt customer service delivery to overcome problems
- examples of how records and reporting procedures were managed within the organisation's processes

Resource implications for assessment include:

- access by the learner and trainer to appropriate documentation and resources normally used in the workplace

Validity and sufficiency of evidence requires:

- that this unit can be assessed in the workplace or in a closely simulated work environment
- that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment
- that examples of actions taken by the candidate to promote quality customer service are provided

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Integrated competency assessment means:	• this unit should be assessed with other frontline management units taken as part of this qualification, as applicable to the candidate's leadership role in a work team and as part of an integrated assessment activity

BSBFLM509B Facilitate continuous improvement

Unit Descriptor

This unit specifies the outcomes required to lead and manage continuous improvement systems and processes. Particular emphasis is on the development of systems and the analysis of information to monitor and adjust performance strategies and to manage opportunities for further improvements.

Competency Field

Business management services

Domain

Frontline management

Application of the Competency

This unit replaces BSBFLM509A Promote continuous improvement.

Frontline managers have an active role in managing the continuous improvement process in achieving the organisation's objectives. Their position, closely associated with the creation and delivery of products and services, means that they play an important part in influencing the ongoing development of the organisation.

At this level, work will normally be carried out within complex and diverse methods and procedures which require the exercise of considerable discretion and judgement, using a range of problem solving and decision making strategies.

This unit builds on BSBFLM409B Implement continuous improvement. Consider co-assessment with BSBFLM512A Ensure team effectiveness, BSBFLM505B Manage operational plan, and BSBFLM507B Manage quality customer service, BSBMGT505A Ensure a safe workplace, BSBFLM510B Facilitate and capitalise on change and innovation, and BSBFLM511B Develop a workplace learning environment.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Lead continuous improvement systems and processes	1.1 *Strategies* are developed to ensure that team members are actively encouraged and supported to participate in decision making processes, and to assume responsibility and exercise initiative as appropriate

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	1.2 *Systems* are established to ensure that the organisation's *continuous improvement processes* are communicated to all *stakeholders*
	1.3 Effective mentoring and coaching processes are developed to ensure that individuals and teams are able to implement and support the organisation's continuous improvement processes
2. Monitor and adjust performance strategies	2.1 Strategies are developed to ensure that systems and procedures including *technology* are used to monitor *operational progress* and to identify ways in which planning and operations could be improved
	2.2 Customer service strategies and processes are improved through continuous improvement techniques and processes
	2.3 Strategies are adjusted and communicated to all stakeholders according to organisational procedures
3. Manage opportunities for further improvement	3.1 *Processes* are established to ensure that team members are informed of savings and productivity/ service improvements in achieving the business plan
	3.2 Processes include *documentation of work team performance* to aid the identification of further opportunities for improvement
	3.3 Areas which have recorded improvement and opportunities for improvement, are taken into account in all aspects of future planning

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace may include:	• award and enterprise agreements and relevant industrial instruments • relevant legislation from all levels of government that affects business operation, especially in regard to occupational health and safety (OHS) and environmental issues, equal opportunity, industrial relations, anti-discrimination and record keeping standards and legislation • relevant industry codes of practice
OHS considerations may include:	• knowledge of OHS legislation, principles and practice within the context of the organisation's operations and plans

	• OHS practice as an ethical standard and legislative requirement • training of all employees in health and safety procedures • establishing and maintaining the continuous improvement processes of any OHS management system • regularly updating and reviewing the organisation's OHS systems, procedures and records • organisation's procedures for dealing with hazardous events • adjustment of communications and OHS approach to cater for social and cultural diversity and special needs
Strategies may refer to:	• long-term or short-term plans factoring in opportunities for team input • mentoring and 'buddy' systems to support team members in participating in decision making • clarification of roles and expectations • training and development activities • performance plans • communication devices and processes, such as intranet and email communication systems, to facilitate input into workplace decisions • reward/recognition programs for high performing staff
Systems may refer to:	• policies and procedures • web based communication devices • forums, meetings • newsletters and reports
Continuous improvement processes may include:	• policies and procedures which allow an organisation to systematically review and improve the quality of its products, services and procedures • cyclical audits and reviews of workplace, team and individual performance • seeking and considering feedback from a range of stakeholders • modifications and improvements to systems, processes, services and products • evaluations and monitoring of effectiveness
Stakeholders may include:	• internal and external contacts • senior management and board members • individuals within the work team

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	• the organisation's clients and customers • business or government contacts • funding bodies • unions/employee groups • professional associations
Technology may include:	• computerised systems and software such as databases, project management and word-processing • telecommunications devices • any other technology used to carry out work roles and responsibilities
Operational progress may refer to:	• success in meeting agreed goals and performance indicators • productivity gains • customer service indicators • OHS indicators
Processes may refer to:	• team meetings • email/intranet, newsletters or other communication devices • newsletters and bulletins • staff reward mechanisms
Documentation of work team performance may include:	• records and reports • annotated performance plans • quantitative data such as production figures • recommendations for improvement

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this standard must be able to provide evidence that they are able to develop, monitor and adjust plans, processes and procedures to improve performance; they must also be able to support others to implement the continuous improvement system/processes and to be able to identify and manage opportunities for further improvement.

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Specific Evidence Requirements

Required knowledge and understanding include:

- 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
- the principles and techniques involved in the management and organisation of:
  - continuous improvement systems and processes
  - benchmarking
  - change management
  - problem identification and resolution
  - leadership and mentoring techniques
  - management of ongoing product and service quality
  - consultation and communication techniques
  - best practice
  - strategies to monitor and adjust operational performance
  - recording and reporting methods
- benefits of continuous improvement
- barriers to continuous improvement
- quality approaches which the organisation may implement
- methods that can be used in continuous improvement
- organisation's recording, reporting and recommendation processes to facilitate continuous improvement

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities
- functional literacy skills to access and use workplace information
- communication skills to:
  - gain the commitment of individuals/teams to continuous improvement
  - deal with people openly and fairly
  - use consultation skills effectively
- research, analysis and reporting skills
- monitoring and evaluating skills
- skills to consolidate opportunities for improvement

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- coaching and mentoring skills to provide support to colleagues

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks.

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (3)	• establishing systems to communicate continuous improvement processes to team members and other stakeholders • ensuring processes inform team members of improvements and achievements
Collecting, analysing and organising information (3)	• establishing processes to document performance
Planning and organising activities (3)	• adjusting plans and strategies as a result of feedback
Working in a team (3)	• developing strategies to involve team members in decision making
Using mathematical ideas and techniques (1)	• completing calculations associated with work improvement
Solving problems (3)	• developing and improving the organisation's continuous improvement processes and investigating problems with introducing improvements
Using technology (2)	• using technology to assist the management of information
Innovation skills (3)	• developing an innovative approach to the development of the continuous improvement system to enhance business operations

Products that could be used as evidence include:

- documentation produced in leading the team, such as:
  - contribution to organisational policies and procedures
  - procedures and policies for dealing with continuous improvement systems, and related codes of conduct
  - actions taken to address information collection and retrieval

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- actions taken to address methods of analysing information and developing and/or maintaining a continuous improvement system
- actions taken to address internal and external continuous improvement issues
- actions taken to address issues and problems within the work team and continuous improvement
- advice and input into management decisions related to the work team and continuous improvement
- learning and development plans for team members
- materials developed for coaching, mentoring and training
- induction programs developed and/or delivered
- reviews of people management
- records of people management lessons learned

Processes that could be used as evidence include:

- how strategies are developed to encourage team members to participate in the decision making process
- examples of how continuous improvement processes were communicated to all stakeholders
- examples of how continuous improvement processes were supported
- how technology was used to monitor operational progress
- examples of how plans have been adjusted and communicated to all stakeholders
- how team members were informed of improvements/innovations
- how work performance was documented to aid identification of further opportunities for improvement
- how future planning has included areas which have recorded improvements

Resource implications for assessment include:

- access by the learner and trainer to appropriate documentation and resources normally used in the workplace

Validity and sufficiency of evidence requires:

- that this unit can be assessed in the workplace or in a closely simulated work environment
- that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment

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	• that examples of actions taken by the candidate to facilitate continuous improvement are provided
Integrated competency assessment means:	• that this unit should be assessed with other frontline management units taken as part of this qualification, as applicable to the candidate's leadership role in a work team and as part of an integrated assessment activity

BSBFLM510B Facilitate and capitalise on change and innovation

Unit Descriptor

This unit specifies the outcomes required to plan and manage the introduction and facilitation of change. Particular emphasis is on the development of creative and flexible approaches, and on managing emerging opportunities and challenges.

Competency Field

Business management services

Domain

Frontline management

Application of the Competency

This unit replaces BSBFLM510A Facilitate and capitalise on change and innovation.

Frontline managers have an active role in fostering change and acting as a catalyst in the implementation of change and innovation. They have a creative role in ensuring that individuals, the team and the organisation gain from change; and that the customer benefits through improved products and services.

At this level, work will normally be carried out within complex and diverse methods and procedures which require the exercise of considerable discretion and judgement, using a range of problem solving and decision making strategies.

This unit builds on BSBCMN412A Promote innovation and change. Consider co-assessment with BSBFLM512A Ensure team effectiveness, BSBFLM505B Manage operational plan, and BSBFLM509B Facilitate continuous improvement.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Participate in planning the introduction and facilitation of change	1.1 The *manager* contributes effectively to the organisation's planning processes to introduce and facilitate change 1.2 Plans to introduce change are made in consultation with *appropriate stakeholders* 1.3 The organisation's objectives and plans to introduce change are communicated effectively to individuals and teams
2. Develop creative and flexible approaches and	2.1 A variety of approaches to managing workplace issues and problems are identified and analysed

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	2.2 *Risks* are identified and assessed, and action initiated to manage these to achieve a recognised benefit or advantage to the organisation
	2.3 The workplace is managed in a way which promotes the development of innovative approaches and outcomes
	2.4 Creative and responsive approaches to resource management improve productivity and services, and/or reduce costs
3. Manage emerging challenges and opportunities	3.1 Individuals and teams are supported to respond effectively and efficiently to changes in the organisation's goals, plans and priorities
	3.2 Coaching and mentoring assist individuals and teams to develop competencies to handle change efficiently and effectively
	3.3 Opportunities are identified and taken as appropriate, to make adjustments and to respond to the changing needs of customers and the organisation
	3.4 *Information needs* of individuals and teams are anticipated and facilitated as part of change implementation and management
	3.5 Recommendations for improving the methods and techniques to manage change are identified, evaluated and negotiated with appropriate individuals and groups

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace may include:	• award and enterprise agreements and relevant industrial instruments • relevant legislation from all levels of government that affects business operation, especially in regard to occupational health and safety (OHS) and environmental issues, equal opportunity, industrial relations and anti-discrimination • relevant industry codes of practice
OHS considerations may include:	• knowledge of OHS legislation, principles and practice within the context of the organisation's operations and plans • OHS practice as an ethical standard and legislative requirement • training of all employees in health and safety procedures, and regular updating of records

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	• OHS hazard identification, risk assessment and control • implementation of procedures for dealing with hazardous events • adjustment of communications and OHS approach to cater for social and cultural diversity and special needs
Manager refers to:	• a person with frontline management roles and responsibilities, regardless of the title of their position
Appropriate stakeholders may refer to:	• those individuals and organisations who have a stake in the change and innovation being planned, including: - organisation directors and other relevant managers - teams and individual employees who are both directly and indirectly involved in the proposed change - union/employee representatives or groups - OHS committees - other people with specialist responsibilities - external stakeholders where appropriate – such as clients, suppliers, industry associations, regulatory and licensing agencies
Risks may refer to:	• any event, process or action that may result in goals and objectives of the organisation not being met • any adverse impact on individuals or the organisation • various risks identified in a risk management process
Information needs may include:	• new and emerging workplace issues • implications for current work roles and practices including training and development • changes relative to workplace legislation, such as OHS • workplace data such as productivity, inputs/outputs and future projections • planning documents • reports • market trend data • scenario plans • customer/competitor data

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Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this standard must be able to provide evidence that they are able to identify opportunities to improve performance in consultation with appropriate individuals and groups. They must be able to show evidence of the ability to develop flexible and creative approaches and strategies to introduce and manage change and innovation and to provide coaching and mentoring support to facilitate change. They must be able to assess risks associated with the introduction of change and manage emerging challenges and opportunities.

Specific Evidence Requirements

Required knowledge and understanding includes:

- 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
- the principles and techniques involved in:
  - change and innovation management
  - development of strategies and procedures to implement and facilitate change and innovation
  - use of risk management strategies: identifying hazards, assessing risks and implementing risk control measures
  - problem identification and resolution
  - leadership and mentoring techniques
  - management of quality customer service delivery
  - consultation and communication techniques
  - record keeping and management methods
- the sources of change and how they impact
- the factors which lead/cause resistance to change

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities
- functional literacy skills to access and use workplace information
- communication skills to:
  - gain the trust and confidence of colleagues
  - deal with people openly and fairly
  - use consultation skills effectively

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- research, analysis and reporting skills
- skills to:
  - influence the organisation's culture so that it is receptive to change and innovation
  - monitor trends in the internal and/or external environment
  - respond positively to new situations/challenges
  - evaluate alternative proposals for change
  - manage resistance to change
  - draw on the diversity of the workplace to assist the organisation benefit from change
- coaching and mentoring skills to provide support to colleagues

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks.

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (3)	• consulting with team and stakeholders on plans to introduce change • communicating changes to team and individuals • providing recommendations to management
Collecting, analysing and organising information (3)	• obtaining information about the change process and identifying opportunities and risks
Planning and organising activities (3)	• organising occasions to discuss change with the team and stakeholders
Working in a team (3)	• supporting the team to respond positively to change • encouraging creative responses from team members
Using mathematical ideas and techniques (2)	• making calculations associated with implementing change
Solving problems (3)	• addressing difficulties arising from the changes
Using technology (2)	• using technology to assist in the management of information to facilitate change
Innovation skills (3)	• taking an innovative approach to the development of the change process to enhance business operations

Products that could be used as evidence include:

- documentation produced in leading change and innovation, such as:

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- contribution to organisational policies and procedures
- procedures and policies for dealing with change and innovation, and related codes of conduct
- evidence of actions taken to address information collection and retrieval
- evidence of actions taken to address methods of analysing information and developing change and innovation processes
- evidence of actions taken to address internal and external change and innovation management issues
- evidence of actions taken to address issues and problems within work team and change process
- evidence of advice and input into management decisions related to the work team and change process
- learning and development plans for team members
- materials developed for coaching, mentoring and training
- induction programs developed and/or delivered
- records of OHS consultation
- risk assessment records
- reviews of people management
- records of people management lessons learned

Processes that could be used as evidence include:

- how planning processes have introduced and facilitated change
- how plans for change were introduced and consulted on
- how communication processes were conducted
- how the operational plan was managed
- examples of approaches to managing workplace issues
- examples of risk assessments and measures to minimise risk
- how performance management system was implemented within work team
- how problems and issues within the work team were addressed
- how creative and innovative responses/approaches have affected productivity
- examples of team members responses to change and how coaching and mentoring was of assistance

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	• examples of adjustments to respond to changing needs of customers and/or the organisation • examples of response to information needs • examples of recommendations for improving methods for managing change
Resource implications for assessment include:	• access by the learner and trainer to appropriate documentation and resources normally used in the workplace
Validity and sufficiency of evidence requires:	• that this unit can be assessed in the workplace or in a closely simulated work environment • that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • that examples of actions taken by the candidate to facilitate and capitalise on change and innovation are provided
Integrated competency assessment means:	• that this unit should be assessed with other frontline management units taken as part of this qualification, as applicable to the candidate's leadership role in a work team and as part of an integrated assessment activity

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BSBFLM511B Develop a workplace learning environment

Unit Descriptor

This unit specifies the outcomes required to encourage and support the development of a learning environment in which work and learning come together. Particular emphasis is on the development of strategies to facilitate and promote learning and to monitor and improve learning performance.

Competency Field

Business management services

Domain

Frontline management

Application of the Competency

This unit replaces the unit BSBFLM511A Develop a workplace learning environment.

Frontline managers have a prominent role in encouraging, supporting and facilitating the development of a learning environment in which work and learning come together.

At this level, work will normally be carried out within complex and diverse methods and procedures which require the exercise of considerable discretion and judgement, using a range of problem solving and decision making strategies.

This unit builds on BSBCMN404A Develop teams and individuals. Consider co-assessment with BSBFLM501B Manage personal work priorities and professional development, BSBFLM512A Ensure team effectiveness, BSBFLM505B Manage operational plan, BSBFLM507B Manage quality customer service, and BSBMGT505A Ensure a safe workplace.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Create learning opportunities	1.1 Potential formal and informal *learning opportunities* are identified
	1.2 *Learning needs* of individuals are identified in relation to the needs of the team and/or enterprise and available learning opportunities
	1.3 *Learning plans* are developed and implemented as an integral part of individual and team performance plans
	1.4 Strategies are developed to ensure that learning plans reflect the *diversity of needs*
	1.5 Organisational procedures maximise individual and team access to, and participation in, learning opportunities

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	1.6 Effective liaison occurs with *training and development specialists* and contributes to learning opportunities which enhance individual, team and organisational performance
2. Facilitate and promote learning	2.1 Strategies are developed to ensure that workplace learning opportunities are used and team members are encouraged to share their skills and knowledge to *encourage a learning culture* within the team
	2.2 Organisational procedures are implemented to ensure workplace learning opportunities contribute to the development of appropriate workplace knowledge, skills and attitudes
	2.3 Policies and procedures are implemented to encourage team members to assess their own competencies, and to identify own learning and development needs
	2.4 The benefits of learning are shared with others in the team and organisation
	2.5 Workplace achievement is recognised by timely and appropriate recognition, feedback and rewards
3. Monitor and improve learning effectiveness	3.1 Strategies are used 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 occupational health and safety issues
	3.2 Feedback from individuals and teams is used to identify and introduce improvements in future learning arrangements
	3.3 Adjustments negotiated with training and development specialists result in improvements to the efficiency and effectiveness of learning
	3.4 Processes are used to ensure that records and reports of competency are documented and maintained within the organisation's systems and procedures to inform future planning

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

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Legislation, codes and national standards relevant to the workplace may include:	• award and enterprise agreements and relevant industrial instruments • relevant legislation from all levels of government that affects business operation, especially in regard to occupational health and safety (OHS) and environmental issues, equal opportunity, industrial relations and anti-discrimination • relevant industry codes of practice
OHS considerations may include:	• knowledge of OHS legislation, principles and practice within the context of the organisation's operations and plans • OHS practice as an ethical standard and legislative requirement • training of all employees in health and safety procedures • regular updating and reviewing of procedures, records and systems • inclusion of OHS requirements in the planning process • inclusion of OHS in learning plans • adjustment of communications and OHS approach to cater for social and cultural diversity and special needs
Learning opportunities may include:	• structured learning activities conducted outside and within the workplace such as: - training through an RTO leading to a nationally recognised Australian Qualifications Framework (AQF) qualification or Statement of Attainment, for example through a traineeship or New Apprenticeship - accredited training through an independent organisation such as a State OHS authority - workshops - short courses - action learning • workplace learning activities, that may also contribute to a recognised credential, such as: - induction - mentoring - coaching - shadowing - exchange/rotation

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Learning needs may include:	• gaps between the competencies held by the employee and the skills and knowledge required to effectively undertake workplace tasks • developmental learning, for example the learning required to progress through an organisation and take on new tasks and roles
Learning plans may include:	• team competencies • team roles and responsibilities • performance standards • work outputs and processes • Key Performance Indicators (KPI) • codes of conduct • OHS requirements • negotiated agreement with individual
Diversity of needs may include:	• learning needs that relate to social, cultural and other types of workplace diversity, such as the need for varied communication styles and approaches
Training and development specialists may be:	• internal or external
Encourage a learning culture may refer to:	• encouraging learning and sharing of skills and knowledge across the work team and the wider organisation to develop competencies of individual team members and the team as a whole

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this standard must be able to provide evidence that they are able to facilitate the development of a learning environment. They must be able to show evidence of the ability to identify workplace activities which facilitate learning, and negotiate learning arrangements with training and development specialists. They also must be able to develop strategies to monitor performance of individuals and the team and use this to improve learning effectiveness and future learning arrangements.

Specific Evidence Requirements

Required knowledge and understanding include:	• 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

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- the principles and techniques involved in the management and organisation of:
  - adult learning
  - a learning environment and learning culture
  - work based learning
  - structured learning
  - problem identification and resolution
  - leadership
  - coaching and mentoring
  - consultation and communication
  - record keeping and management methods
  - monitoring and reviewing workplace learning
  - improvement strategies
- management of relationships to achieve a learning environment
- strategies that contribute to the elimination of discrimination/bias

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities
- functional literacy skills to access and use workplace information
- communication skills to:
  - encourage colleagues to share their knowledge and skills
  - gain the trust and confidence of colleagues
  - deal with people openly and fairly
  - use consultation skills effectively
- skills to facilitate, promote and monitor learning:
  - identifying learning needs
  - developing learning plans
  - selecting and using work activities to create learning opportunities
  - establishing a workplace which is conducive to learning
  - negotiating learning arrangements with training and development specialists
  - using coaching and mentoring to support learning
  - evaluating the effectiveness of learning

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Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks.

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (3)	• discussing strategies to facilitate and improve workplace learning • sharing with others the benefits of learning • providing feedback, recognition and rewards to team and individuals
Collecting, analysing and organising information (3)	• assembling information about learning options
Planning and organising activities (3)	• developing and implementing strategies to facilitate and promote learning
Working in a team (3)	• gaining feedback from individuals and team members on learning needs and opportunities
Using mathematical ideas and techniques (2)	• compiling data about learning arrangement
Solving problems (3)	• resolving difficulties with competency development
Using technology (2)	• using technology to assist in the management of information and to promote learning
Innovation skills (3)	• developing an innovative approach to the development of a learning culture to enhance business operations

Products that could be used as evidence include:

- documentation produced in developing a workplace learning environment, such as:
  - contribution to organisational policies and procedures
  - procedures and policies for dealing with learning systems, and related codes of conduct
  - evidence of actions taken to address information collection and retrieval
  - evidence of actions taken to address methods of analysing information
  - evidence of actions taken to develop and/or maintain a learning culture

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- evidence of actions taken to address internal and external learning issues
- evidence of actions taken to address issues and problems within the work team
- evidence of advice and input into management decisions related to the work team and workplace learning
- learning and development plans for team members
- materials developed for coaching, mentoring and training
- induction programs developed and/or delivered
- reviews of people management
- records of people management lessons learned

Processes that could be used as evidence include:

- how workplace learning activities were developed and managed
- how work was allocated within work team, and rationale for allocations
- how learning plans were developed
- how team members have been encouraged to participate in learning opportunities
- how procedures have been designed to ensure that individual learning and development pathways were developed and implemented
- how liaison with training and development specialists has occurred, especially in regard to ongoing improvement
- how team members were encouraged to assess their own competencies and to identify own learning and development needs
- how workplace achievement has been recognised
- how input and advice was provided to management and stakeholders in relation to the benefits of learning and development
- how learning and development records have been documented and stored
- how performance management processes were reviewed and evaluated, and improvements identified, reported and acted upon

Resource implications for assessment include:

- access by the learner and trainer to appropriate documentation and resources normally used in the workplace

Validity and sufficiency of evidence requires:

- that this unit can be assessed in the workplace or in a closely simulated work environment

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- that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment
- that examples of actions taken by the candidate to develop a workplace learning environment are provided

Integrated competency assessment means:

- that this unit should be assessed with other frontline management units taken as part of this qualification, as applicable to the candidate's leadership role in a work team and as part of an integrated assessment activity

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BSBFLM512A Ensure team effectiveness

Unit Descriptor

This unit specifies the outcomes required by frontline managers to facilitate all aspects of team work within the organisation. It involves taking a leadership role in the development of team plans, leading and facilitating team work and actively engaging with the management of the organisation.

Competency Field

Business management services

Domain

Frontline management

Application of the Competency

This unit replaces BSBFLM502A Provide leadership in the workplace and BSBFLM504A Facilitate work teams, which have been combined to create this unit.

Frontline managers have an important facilitative role in the development and empowerment of work teams. This will be evident in the way frontline managers work with teams and individuals, work across teams, and the initiative they take in strengthening the links between teams and the organisation's management.

At this level, work will normally be carried out within complex and diverse methods and procedures which require the exercise of considerable discretion and judgement, using a range of problem solving and decision making strategies.

This unit builds on BSBFLM412A Promote team effectiveness.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Establish team performance plan	1.1 Team members are *consulted* to establish team purpose, roles, responsibilities and *accountabilities* in accordance with organisational goals, plans and objectives
	1.2 *Performance plans* are developed in consultation with team members, to establish expected *outcomes, outputs, key performance indicators* and goals for work team
	1.3 Team members are supported in meeting expected performance outcomes
2. Develop and facilitate team cohesion	2.1 *Strategies* are developed to ensure team members have input into planning, decision making and operational aspects of work team

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	2.2 *Policies and procedures* are developed to ensure team members take responsibility for own work and assist others to undertake required roles and responsibilities
	2.3 Feedback is provided to team members to encourage, value and reward individual and team efforts and contributions
	2.4 *Processes* are developed to ensure that issues, concerns and problems identified by team members are recognised and addressed
3. Facilitate team work	3.1 Team members and individuals are encouraged to participate in and take responsibility for team activities, including communication processes
	3.2 The team is supported in identifying and resolving work performance problems
	3.3 Own contribution to work team serves as a role model for others and enhances the organisation's image to all *stakeholders*
4. Liaise with stakeholders	4.1 Open communication processes with all stakeholders are established and maintained
	4.2 Information from *line manager/management* is communicated to the team
	4.3 Unresolved issues, concerns and problems raised by team members are communicated to, and followed up with, line manager/management and other relevant stakeholders
	4.4 Unresolved issues, concerns and problems raised by internal or external stakeholders are evaluated, and necessary corrective action taken

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace may include:

- award and enterprise agreements and relevant industrial instruments
- relevant legislation from all levels of government that affects business operation, especially in regard to occupational health and safety (OHS) and environmental issues, equal opportunity, industrial relations, anti-discrimination and record keeping standards and legislation
- relevant industry codes of practice

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OHS considerations may include:	• knowledge of OHS legislation, principles and practice within the context of the organisation's operations and plans • OHS practice as an ethical standard and legislative requirement • training of all employees in health and safety procedures • regular updating and reviewing of the organisation's OHS systems, procedures and records • key performance indicators include relevant OHS procedures • adjustment of communications and OHS approach to cater for social and cultural diversity and special needs
Consulted may refer to:	• conducting meetings, interviews, brainstorming sessions, email/intranet communications, newsletters or other processes and devices which ensure that all employees have the opportunity to contribute to team and individual performance plans • mechanisms used to provide feedback to the work team in relation to outcomes of consultation
Accountabilities may refer to:	• a statement of conduct outlining responsibilities/actions/performance • responsibilities as defined in position descriptions, codes of conduct/behaviour, duty statements or similar
Performance plans may refer to:	• team plans based on work assignments and responsibilities • individual performance plans linked to team goals
Outcomes, outputs, key performance indicators may refer to agreed:	• measures for monitoring and evaluating the efficiency or effectiveness of systems or services • targets for productivity improvements such as reduced downtime, higher production levels, decreases in absenteeism • improved individual and team performance and participation • improvements to systems, operations • changes in work roles and responsibilities • quality standards and expectations • targets for training and development
Strategies may refer to:	• long-term or short-term plans factoring in opportunities for team input

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	• mentoring and 'buddy' systems to support team members in providing input • clarification of roles and expectations • training and development activities • electronic communication devices and processes, such as intranet and email communication systems, to facilitate input • newsletters and briefings
Policies and procedures may refer to:	• organisational guidelines and systems that govern operational functions • procedures that detail the activities that must be carried out for the completion of actions and tasks • Standard Operating Procedures
Processes may refer to:	• discussions with individuals regarding their concerns • brainstorming options with the team for addressing concerns • creating a matrix of issues and concerns and distributing it for comment • distributing drafts for comment with a range of options for resolution of concerns • training and development sessions
Stakeholders may include:	• the work team • Board members • union/employee groups and representatives • business or government contacts • funding bodies
Line manager/management may refer to:	• frontline manager's direct superior • other management representatives • the Chief Executive Officer

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

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Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that they are able to demonstrate leadership in developing plans, in leading and facilitating team work and in actively engaging with stakeholders. They must also provide evidence that team work is actively promoted, supported and encouraged within the work team; and their own performance serves as a role model for others and enhances the organisation's image.

Specific Evidence Requirements

Required knowledge and understanding include:

- 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
- organisational policies and procedures
- organisational goals, objectives and plans
- organisational structure and organisational chart
- the principles and techniques involved in:
  - contingency planning
  - performance planning
  - problem identification and resolution
  - consultation and communication
  - record keeping and management
  - relationship management including motivation and negotiation
  - group dynamics, processes and politics
- methods for collecting and utilising feedback
- development of strategies, processes and procedures to facilitate and monitor team effectiveness
- learning and development options available within and through organisation
- strategies that contribute to the elimination of discrimination/bias

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities
- communication skills
- basic training skills, including mentoring and coaching
- planning and organising skills
- problem solving skills
- leadership skills
- skills to identify needs, goals and aspirations of others

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- group facilitation skills
- attributes:
  - assertive
  - persuasive
  - empathic
  - communicative
  - showing positive leadership
  - self-aware
  - supportive
  - trusting
  - open
  - flexible
  - accommodating
  - initiating
  - loyal
  - recognising achievement
  - fair
  - adaptable

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks.

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (3)	• communicating verbally to lead a team including negotiating, basic training, participating in meetings • communicating in writing including report writing, communicating with management, identifying issues and concerns in writing
Collecting, analysing and organising information (3)	• developing systems to maintaining records of own knowledge and skills and that of team members relevant to organisation planning • undertaking analysis following planning activities • developing systems and processes for monitoring and review
Planning and organising activities (3)	• planning for own work and the work of team members across a range of teams • contributing to the effectiveness of other teams and the organisation as a whole

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Working in a team (3)	• leading and representing the team • consulting team members for their input on team effectiveness strategies and feedback • working with others including external parties and team members
Using mathematical ideas and techniques (1)	• using calculation skills associated with data manipulation relevant to work of team, including financial data
Solving problems (3)	• applying problem solving skills as required to address issues and conflicting requirements arising from inter and intro team activities • assisting others to solve problems arising within and between teams
Using technology (2)	• using word processing packages, spreadsheets, databases, and other packages to produce written correspondence and reports of activities, financial reporting and data collation. • understanding assistive technologies, as necessary
Innovation skills (3)	• developing an innovative approach to the development of strategies to improve team effectiveness
Products that could be used as evidence include:	• documentation produced in ensuring team effectiveness, such as: - reports - minutes or records of meetings - work journals or diaries - learning and development plans developed with team members - records of actions taken to address issues raised by team members
Processes that could be used as evidence include:	• how communication process was managed and implemented to ensure that consultation takes place • how team members were supported and encouraged to meet expected outcomes • strategies to develop and facilitate team cohesion • how performance plans were developed • how team members were guided and supported in performing their role, including induction process for new team members • how performance management system was implemented within work team • how problems and issues within the work team have been addressed

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	• how input and advice was provided to management in relation to human resource management of the work team • how own people management processes were reviewed and evaluated, and improvements identified, reported and acted upon
Resource implications for assessment include:	• access by the learner and trainer to appropriate documentation and resources normally used in the workplace • access to team members' input in relation to leadership of frontline manager
Validity and sufficiency of evidence requires:	• that this unit can be assessed in the workplace or in a closely simulated work environment • that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • that examples of actions taken by the candidate to ensure team effectiveness are provided
Integrated competency assessment means:	• that this unit should be assessed with other frontline management units taken as part of this qualification, as applicable to the candidate's leadership role in a work team and as part of an integrated assessment activity

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BSBFLM513A Manage budgets and financial plans within the work team

Unit Descriptor

This unit specifies the outcomes required for financial management within a work team in an organisation. This includes planning and implementing financial management approaches, supporting team members whose role involves aspects of financial operations, monitoring and controlling finances, and reviewing and evaluating effectiveness of financial management processes in line with the financial objectives of the work team and the organisation.

Competency Field

Business management services

Domain

Frontline management

Application of the Competency

Frontline managers have a key role in implementing financial processes within the work team in organisations. They play a prominent part in ensuring that costs are controlled, expenditure is within established budgets and legislative and financial compliance requirements are met.

At this level, work will normally be carried out within complex and diverse methods and procedures which require the exercise of considerable discretion and judgement, using a range of problem solving and decision making strategies.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Plan financial management approaches	1.1 *Budget/financial plans* for the work team are accessed
	1.2 Budget/financial plans are clarified with *relevant personnel* within the organisation to ensure that documented outcomes are achievable, accurate and comprehensible
	1.3 Any changes required to be made to budget/financial plans are negotiated with relevant personnel within the organisation
	1.4 *Contingency plans* are prepared in the event that initial plans need to be varied
2. Implement financial management approaches	2.1 Relevant details of the agreed budget/financial plans are disseminated to team members
	2.2 *Support* is provided to ensure that team members can competently perform *required roles* associated with management of finances

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	2.3 *Resources and systems* to manage financial management processes within the work team are determined and accessed
3. Monitor and control finances	3.1 *Processes for reporting* of expenditure, income, assets, stock, consumables, equipment and wastage are implemented across the work team to monitor actual expenditure and to control costs
	3.2 Expenditure and costs are monitored on an agreed cyclical basis to identify cost variations and expenditure overruns
	3.3 Contingency plans are implemented, monitored and modified as required to maintain financial objectives
4. Review and evaluate financial management processes	4.1 *Data and information on the effectiveness of financial management processes* within the work team are collected and collated for analysis
	4.2 Data and information on the effectiveness of financial management processes within the work team are analysed and any improvements to existing processes identified, documented and recommended
	4.3 Agreed improvements are implemented and monitored in line with financial objectives of the work team and the organisation

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace may include:	• award and enterprise agreements and relevant industrial instruments • relevant legislation from all levels of government that affects business operation, especially in regard to occupational health and safety (OHS) and environmental issues, equal opportunity, industrial relations, anti-discrimination and record keeping legislation • relevant industry codes of practice
OHS considerations may include:	• knowledge of OHS legislation, principles and practice within the context of the organisation's operations and plans • OHS practice as an ethical standard and legislative requirement • training of all employees in health and safety procedures, and regular updating of OHS systems

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	• adjustment of communications and OHS approach to cater for social/cultural diversity and special needs
Budget/financial plans may include:	• long-term budgets/plans • short-term budgets/plans • operational plans • spreadsheet-based financial projections • cash flow projections • targets or key performance indicators (KPIs) for production, productivity, wastage, sales, income and expenditure
Relevant personnel may include:	• supervisors, fellow frontline managers • financial managers, accountants or financial controllers
Contingency plans may include:	• rental, hire purchase or alternative means of procurement of required materials, equipment and stock • contracting out or outsourcing human resource and other functions or tasks • restructuring of organisation to reduce labour costs • strategies for reducing costs, wastage, stock or consumables • diversification of outcomes • recycling and re-use • finding cheaper or lower quality raw materials and consumables • seeking further funding • increasing sales or production • risk identification, assessment and management processes • succession planning
Support may include:	• documentation of procedures • intranet-based information • training including, mentoring, coaching and shadowing • help desk or identified experts within the organisation • information briefings or sessions • access to specialist advice
Required roles may include:	• maintaining petty cash system • purchasing and procurement • invoicing clients, customers and consumers

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	• debt collection • wages and salaries payments and record keeping • banking • maintaining journals, ledgers and other record keeping systems • arranging for use of corporate credit cards • ensuring security, accuracy and currency of financial operations
Resources and systems may include:	• hardware and software • human, physical or financial resources • specialist advice or support • record keeping systems (electronic and paper-based)
Processes for reporting may include:	• petty cash records • logs • ledgers and journals • spreadsheet-based records • invoices and receipts • bank statements • credit card statements • financial reports
Data and information on the effectiveness of financial management processes may include records (paper-based and electronic) related to:	• income and expenditure • cash flow data • quotations • files of paid purchase and service invoices • job costings • employee timesheets • credit card receipts • petty cash receipts • wages/salaries books • invoices • bank account records • insurance reports • taxation records • contracts

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Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that they are able to manage finances for the work team effectively and efficiently and within organisational and legislative requirements. This may include evidence of managing the work of others whose roles are associated with financial management and record keeping.

Specific Evidence Requirements

Required knowledge and understanding include:

- 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
- organisational requirements related to financial management
- organisation roles in respect to financial delegations, accountabilities and responsibilities
- requirements for organisational record keeping and audit requirements
- organisational objectives and plans
- financial management requirements and performance measurement
- basic accounting principles
- consultative methods and processes
- the principles and techniques involved in:
  - budgeting
  - cash flows
  - ledgers and financial statements
  - accrual accounting concepts
  - advanced numerical calculations
  - electronic spreadsheets

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities
- communication and training skills
- financial planning and management skills, including budgeting
- contingency management skills

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- problem solving skills
- leadership and personnel management
- monitoring and review skills
- skills in the use of specialist software for financial record keeping and management (if and as relevant)
- attributes:
  - ethical
  - communicative
  - showing positive leadership

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks.

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (3)	• communicating verbally to lead a team including negotiating, training, participating in meetings, questioning and discussing • using written communication skills, including those involved in reporting, review and evaluation
Collecting, analysing and organising information (3)	• tracking, monitoring and controlling financial data • reviewing and evaluating financial management
Planning and organising activities (3)	• planning for delegation of tasks associated with financial management while managing own work
Working in a team (3)	• working with team members and providing leadership to team • working with others involved in financial management from outside the team
Using mathematical ideas and techniques (3)	• using calculation skills associated with data manipulation involved in financial data
Solving problems (3)	• applying problem solving skills as required to address problems arising in managing finances
Using technology (2)	• using word processing packages, spreadsheets, databases, and other packages to produce written correspondence and reports related to finances and data collation
Innovation skills (3)	• using review process to improve financial management

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Products that could be used as evidence include:	• documentation produced in managing finances within the work team, such as: - revised budgets - cost estimates - cost management plans and strategies - cost breakdown structures - expenditure forecasts - records of cost management lessons learned and recommendations for improvements
Processes that could be used as evidence include:	• how any required changes to budgets/financial plans were negotiated • how cost management plans and contingency plans were developed • how budgets/financial plans were communicated to team members • how team members were supported in undertaking roles associated with financial management • how problems and issues with respect to finances were identified and addressed • how financial management was reviewed and improvements acted upon
Resource implications for assessment include:	• access by the learner and trainer to appropriate documentation and resources normally used in the workplace
Validity and sufficiency of evidence requires:	• that this unit can be assessed in the workplace or in a closely simulated work environment • that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • that examples of actions taken by the candidate to manage finances across the work team are provided
Integrated competency assessment means:	• that this unit should be assessed with other frontline management units taken as part of this qualification, as applicable to the candidate's management role in work team and as part of an integrated assessment activity

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BSBFLM514A Manage people

Unit Descriptor

This unit specifies the outcomes required to manage and lead team members within an organisation. This includes determining work allocations; implementing performance management processes; addressing issues related to own personal leadership style and performance within the work team; demonstrating leadership; building commitment within the team; and analysing, reviewing and evaluating the effectiveness of human resource management processes in line with the objectives of the work team and the organisation.

Competency Field

Business management services

Domain

Frontline management

Application of the Competency

Frontline managers have a key role in managing and leading individuals within work teams. They play a prominent part in managing the performance of people who report to them directly and in providing leadership to teams.

At this level, work will normally be carried out within complex and diverse methods and procedures which require the exercise of considerable discretion and judgement, using a range of problem solving and decision making strategies.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Manage performance of individuals in teams	1.1 *Performance management systems/plans* are developed and/or implemented in consultation with *relevant personnel* in accordance with documented processes, timelines and legal requirements, particularly OHS regulations
	1.2 Work and resources required by the operational plan are allocated in consultation with relevant personnel
	1.3 Strategies including *mentoring and coaching* are developed to ensure that team members are actively encouraged and supported in assessing their own competence, identifying their own *learning needs* and identifying a range of *learning opportunities*
2. Address performance related issues	2.1 Systems are established to ensure that the efforts of team members are monitored and that formal and informal feedback is provided in a constructive manner

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	2.2	Performance above expectations is identified and reinforced through recognition and continuous feedback
	2.3	Performance below expectations is identified and *a development plan* for improved performance is negotiated, agreed on and documented in accordance with organisational and legal requirements
	2.4	*Action plans for improving performance* are established, monitored, documented and reported in accordance with organisational and legal requirements
3. Address issues and problems of individuals in teams	3.1	Potential and current *issues and problems* arising within the work team are identified and *acted on* in accordance with *organisation policies and legal requirements* and, as appropriate, in consultation with *concerned parties*
	3.2	Advice, support and expertise is sought from *specialised human resource services* as required, to resolve issues and problems
	3.3	Issues and problems that impact on individual team members are followed through and resolved with concerned individuals/parties
4. Build support and commitment within the work team	4.1	Management performance and behaviour meets the organisation's requirements, provides leadership and serves as a positive role model for others
	4.2	Personal performance supports organisation policies, codes of conduct and values and contributes to the development of an organisation which has integrity and credibility
	4.3	Own performance is monitored and adjusted to ensure it aligns with key performance indicators and organisational goals
	4.4	Team members are treated in a fair and equal manner and individual differences and abilities are identified and accommodated
	4.5	Effective communication channels and processes with management and between *relevant stakeholders* are developed and maintained
5. Review and evaluate management of individuals within the work team	5.1	*Data and information* on the effectiveness of performance management systems/plans for individuals within the work team are collected, analysed, reported and evaluated to aid future planning
	5.2	Advice and recommendations for performance management systems/plans for individuals within the work team are provided to management

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5.3 Improvements and changes agreed with individual team members are implemented and monitored in line with objectives of the work team and the organisation

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace may include:	• award and enterprise agreements and relevant industrial instruments • relevant legislation from all levels of government that affects business operation, especially in regard to occupational health and safety (OHS) and environmental issues, equal opportunity, industrial relations and anti-discrimination • relevant industry codes of practice
OHS considerations may include:	• knowledge of OHS legislation, principles and practice within the context of the organisation's operations and plans • OHS practice as an ethical standard and legislative requirement • training of all employees in health and safety procedures • regular updating and review of the organisation's OHS systems, procedures and records • organisation's responsibilities to internal and external personnel • adjustment of communications and OHS approach to cater for social and cultural diversity and special needs
Performance management systems/plans may refer to:	• documented systems for managing performance within the organisation – usually incorporating performance plans for individuals directly relating to team and organisation objectives • informal systems developed by frontline manager for individuals and/or the work team in the place of existing organisation-wide system
Relevant personnel may include:	• management • team members • human resources manager and personnel • fellow frontline managers • union/employee representatives or groups

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Mentoring and coaching may include:	• team leaders, supervisors and leading hands • arrangements with training personnel • arrangements with skilled personnel outside the work team
Learning needs may include:	• gaps between the competencies held by the employee and the skills and knowledge required to effectively undertake workplace tasks • developmental learning, for example the learning required to progress through an organisation and take on new tasks and roles
Learning opportunities may include:	• learning activities outside the workplace such as: - training through an RTO leading to a nationally recognised Australian Qualifications Framework (AQF) qualification or Statement of Attainment, for example through a traineeship or New Apprenticeship - accredited training through an independent organisation such as a State OHS authority - workshops - short courses • workplace learning activities which may also lead to a recognised credential or be part of structured training such as: - induction - mentoring - action learning - coaching - shadowing - exchange/rotation
A development plan may include:	• work allocation • team competencies • team roles and responsibilities • performance standards • work outputs and process • learning opportunities • Key Performance Indicators (KPIs) • codes of conduct • OHS requirements • negotiated agreement with individual

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- capacity for inserting ongoing evaluation, review and input such as:
  - individual assessment of progress towards the KPIs
  - comments from manager, and team members as appropriate
  - review of the individual's workload
  - referral to specialist support services available either within the organisation or externally through the organisation
  - progress towards identified learning opportunities
  - warnings and reporting of poor performance to management in accordance with organisational policies and procedures
  - timelines for performance improvement including probationary period

Action plans for improving performance may include:

- plans that specify:
  - areas requiring improved performance
  - specific actions expected of the employee
  - level of improvement required
  - timing of expected improvement
  - support provided

Issues and problems may include:

- perceived or actual issues and problems relating to:
  - work roles, job design and allocation of duties
  - work performance of self and others
- stress or personal problems that may be referred to specialist human resources personnel or external service providers
- injury rehabilitation
- prejudice or racial vilification
- bullying
- dispute between individuals or parties
- grievances
- appeals against formal decisions such as assessments, promotion
- discrimination and harassment

Acted on (in relation to organisation policies and legal requirements) may include but is not limited to:

- bringing parties together to seek clarification of the issue and plan for action to resolve it
- formal or informal processes including discussions and meetings to resolve the issue
- involving a mediator

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	• referral to specialist human resources support services/personnel • making 'reasonable adjustments' to work procedures and facilities where required, for example in the case of a person with a disability • referral to more senior management • coaching • counselling • disciplinary procedures
Organisation policies and legal requirements may include, but are not limited to:	• workplace policies and procedures such as those covering: - grievances - complaints - appeals - Equal Employment Opportunity - sexual/workplace harassment - privacy - workplace standards • legislation such as anti-discrimination legislation, OHS, WorkCover • mission, vision and values statements or similar
Concerned parties may include:	• individuals, other employees outside team, employee groups and management
Specialised human resource services may include:	• management • human resources specialists • organisational resources outside immediate team • rehabilitation coordinator • OHS practitioners • external service providers • employee assistance program providers • counsellors • ministers of religion • medical practitioners • paraprofessional health related services

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Relevant stakeholders may be:	• within the work team • the organisation's clients/customers • Board members • business or government contacts • funding bodies • professional associations • unions/employee groups
Data and information may include:	• employee turnover figures • employee satisfaction surveys or 'climate' surveys • records of performance management system implementation across work team • records of participation in learning opportunities • productivity data • human resource records, such as absenteeism and lateness • benchmarking exercises against relevant data for other work teams or other organisation • industry standards

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that they have taken responsibility for managing team members directly reporting to them. This will include evidence of managing issues arising within the work team; managing different levels of performance; and providing advice and input into decisions taken by management in relation to human resources within the team. More specifically it requires evidence of determining work allocations; implementing performance management processes; addressing issues related to own personal leadership style and performance within work teams; and analysing, reviewing and evaluating the effectiveness of human resource management processes.

Specific Evidence Requirements

Required knowledge and understanding includes:	• 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 • organisational policies and procedures related to human resources

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- relevant awards and certified agreements
- legislation impacting on people management such as equal opportunity, OHS, industrial relations, anti-discrimination and unfair dismissal
- key result areas of the team and the organisation
- range of support services and expertise available within and through the organisation
- requirements of the operational plan
- the principles and techniques involved in:
  - performance management system
  - problem identification and resolution
  - record keeping and management
  - leadership and mentoring
  - learning and development options or expertise to be able to refer team members to such expertise
  - identifying the cultural and social environment
  - developing trust and confidence
  - consistent behaviour in work relationships
- consultation and communication techniques and strategies:
  - counselling
  - identifying and assessing interpersonal styles
  - conflict resolution
  - strategies to obtain and address individual and team feedback
  - developing networks to source specialist advice, support and expertise
  - managing relationships with all stakeholders
- processes for monitoring team and own performance
- strategies that contribute to the elimination of discrimination/bias

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities
- communication and negotiation
- leadership and personnel management
- planning and organising skills
- problem solving skills
- monitoring and review skills
- training skills
- counselling skills, including providing feedback

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- attributes:
  - empathic
  - assertive
  - communicative
  - show positive leadership
  - self-aware
  - supportive
  - trusting
  - open
  - flexible
  - accommodating
  - initiating
  - loyal
  - recognising achievement
  - fair
  - adaptable

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks.

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (3)	• communicating to lead a team including negotiating, counselling and providing feedback • using written communication skills including those involved in report writing
Collecting, analysing and organising information (3)	• tracking, monitoring and controlling human resource data and information • reviewing people management within team
Planning and organising activities (3)	• planning own work and that of team members to achieve team outcomes
Working in a team (3)	• leading and representing the work team • consulting the work team on a wide range of issues • working with others including management and other stakeholders, employees outside the work team, and external parties/clients
Using mathematical ideas and techniques (1)	• using calculation skills associated with data manipulation involved in managing data

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Solving problems (3)	• applying problem solving skills as required to address issues and problems arising in managing the team • assisting others within team to solve problems arising
Using technology (1)	• using word processing packages, spreadsheets, databases and other packages to produce written correspondence and reports, and for data collation
Innovation skills (3)	• using review process to improve people management and to explore alternatives to build support and commitment within the team
Products that could be used as evidence include:	• documentation produced in managing people within the work team, such as: - rosters and staff allocation - timesheets - learning and development plans for team members - materials developed for coaching, mentoring and training - induction programs developed and/or delivered - actions taken to address poor, unsafe or excellent performance - actions taken to address issues and problems within work team - reviews of people management - advice and input into management decisions related to the work team - records of people management lessons learned
Processes that could be used as evidence include:	• how resource allocation has been managed • how work was allocated within work team, and rationale for allocations • how financial plans and budgets were formulated • how the operational plan was managed • how team members were guided and supported in performing their role, including induction process for new team members • how individual learning and development pathways were developed • how performance management system was implemented within work team • how problems and issues within the work team have been addressed • how input and advice was provided to management in relation to human resource management of the work team

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	• how own people management processes were reviewed and evaluated, and improvements identified, reported and acted upon
Resource implications for assessment include:	• access by the learner and trainer to appropriate documentation and resources normally used in the workplace
Validity and sufficiency of evidence requires:	• that this unit can be assessed in the workplace or in a closely simulated work environment • that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • that examples of actions taken by the candidate to manage people across the work team are provided
Integrated competency assessment:	• that this unit should be assessed with other frontline management units taken as part of this qualification, as applicable to the candidate's management role in work team and as part of an integrated assessment activity

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BSBMGT505A Ensure a safe workplace

Unit Descriptor

This unit has been adapted from Generic Competency C in the *National Guidelines for Integrating Occupational Health and Safety Competencies into National Industry Competency Standards* [NOHSC:7025 (1998) 2nd edition].

It is relevant for those with managerial responsibilities, either as an owner or employee manager, of a business.

The unit is concerned with establishing, maintaining and evaluating the organisation's Occupational Health and Safety policies, procedures and programs in the relevant work area in accordance with OHS legal requirements. All those who have (or are likely to have) a management responsibility for OHS should undertake this unit.

This unit is related to BSBMGT603A Review and develop business plans, BSBMGT604A Manage business operations, BSBMGT608A Manage innovation and continuous improvement, BSBMGT609A Manage risk and BSBMGT610A Manage environmental management systems.

Competency Field

Business Management Services

Element	Performance Criteria
1. Establish and maintain an Occupational Health and Safety system	1.1 Occupational health and safety policies are developed which clearly express the organisation's commitment to implement relevant *Occupational Health and Safety legislation* in the enterprise 1.2 Occupational Health and Safety *responsibilities* for all workplace personnel are defined to allow implementation of Occupational Health and Safety policies, procedures and programs 1.3 Financial and human resources for the effective operation of the Occupational Health and Safety system are identified and provided 1.4 Information on the Occupational Health and Safety system and its operational procedures is provided and explained to employees
2. Establish and maintain participative arrangements for the management of Occupational Health and Safety	2.1 *Participative arrangements* are established and maintained with employees and their representatives in accordance with relevant Occupational Health and Safety legislation 2.2 Issues raised through participative arrangements and consultation are dealt with and resolved promptly and effectively in accordance with procedures for issue resolution 2.3 Information about the outcomes of participation and

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Element	Performance Criteria
	consultation is provided in a manner accessible to employees promptly
3. Establish and maintain procedures for identifying hazards, and assessing and controlling risks	3.1 Procedures for ongoing hazard identification and assessment & control of associated risks are developed 3.2 Hazard identification is addressed 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 3.3 Procedures for selection and implementation of risk control measures in accordance with the hierarchy of control are developed and maintained 3.4 Inadequacies in existing risk control measures are identified in accordance with the hierarchy of control and resources enabling implementation of new measures are provided promptly
4. Establish and maintain a quality Occupational Health and Safety management system	4.1 An Occupational Health and Safety induction and training program is developed and provided for all employees as part of the organisation's training program 4.2 A system for *Occupational Health and Safety record keeping* is established and maintained to allow identification of patterns of occupational injury and disease in the organisation 4.3 Measurement and evaluation of the Occupational Health and Safety system is undertaken in line with the organisation's Quality Systems' framework 4.4 Improvements to the Occupational Health and Safety system are developed and implemented to achieve organisational Occupational Health and Safety objectives 4.5 Compliance with the Occupational Health and Safety legislative framework is assessed to ensure that legal Occupational Health and Safety standards are maintained as a minimum

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Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competency, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Legislation, codes and national standards relevant to the workplace which may include:

- award and enterprise agreements and relevant industrial instruments
- 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 industry codes of practice

Occupational Health and Safety legislation will depend on state and territory legislation and requirements and will include:

- common law duties to meet general duty of care requirements
- regulations and approved codes of practice relating to hazards in work area
- requirements for establishment of consultative arrangements including those for health and safety representatives and Health and Safety committees
- requirements for effective management of hazards
- requirements for provision of information and training including training in safe operating procedures, procedures for workplace hazards, hazard identification, risk assessment and risk control and emergency and evacuation procedures
- requirements for the maintenance and confidentiality of records of occupational injury and disease

Establishment and maintenance of arrangements for management of OHS in the organisation may include:

- obtaining expert OHS advice as required
- consultation
- designing safe operations & systems of work
- provision of information and training
- specific hazard management policies and procedures for:
  - hazard reporting by employees
  - hazard identification
  - assessment of risks associated with identified hazards
- control of risks in accordance with the hierarchy of control namely:
  - elimination

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Range Statement

- engineering
- administrative
- personal protective equipment
- workplace inspections including plant and equipment
- OHS records' maintenance and analysis
- housekeeping and storage
- purchasing of supplies and equipment
- issue resolution
- counselling/disciplinary processes

Organisational health and safety record-keeping may relate to:

- audit & inspection reports
- workplace environmental monitoring records
- consultation, e.g. meetings of Health & Safety Committees, work group meeting agendas including OHS items and actions
- induction, instruction & training
- manufacturer's and supplier's information including dangerous goods storage lists
- hazardous substances registers
- plant and equipment maintenance and testing reports
- workers compensation & rehabilitation records
- first aid/medical post records

Evidence Guide

The Evidence Guide identifies the critical aspects, knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

- Detailed knowledge and application of all relevant OHS legislative frameworks
- Principles and practice of effective OHS management in a small, medium or large business
- Establishment and maintenance of arrangements for managing OHS within the organisations' business systems and practices
- Identification of intervention points for expert OHS advice
- Detailed knowledge of workforce characteristics and how they impact on the design and maintenance of OHS in the organisation

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Evidence Guide

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating theoretical concepts, with substantial depth in some areas.

- 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
- Understanding the principles and practices of effective Occupational Health and Safety management
- Understanding of the application of the hierarchy of control (the preferred order of risk control measures from most to least preferred, that is, elimination, engineering controls, administrative controls, personal protective equipment)
- Knowledge of relevant OHS legislative frameworks
- Understanding the principles and techniques associated with modelling safe work practices, hazard identification and risk management
- Knowledge of how to develop and promote a safety culture
- Understanding how to provide and arrange support so individuals/groups are competent to fulfil workplace requirements
- Understanding the actual and potential workplace and environmental impact of non-conformance
- Knowledge of facilitating incident investigation and process improvement
- Knowledge non-conformance reporting requirements
- Prepare and negotiate reports and recommendations to improve safety
- Knowledge of literacy levels and communication skills of work group members and consequent suitable communication techniques

Underpinning Skills

- Ability to analyse the working environment in order to identify hazards, assess risks and control risks
- Ability to analyse relevant workplace data in order to identify hazards, assess and control risks
- Ability to analyse relevant workplace data in order to evaluate effectiveness of the OHS management system
- Functional literacy skills to access and use workplace information
- Communication skills including researching and analysing information, reporting

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Evidence Guide

- Interpersonal skills to relate to people from a range of social, cultural and ethnic backgrounds
- Problem-solving skills to deal with complex and non-routine difficulties
- Team work skills to work effectively with teams/groups
- Consultation skills to effectively consult with colleagues
- Select and use technology skills at the appropriate level
- Coaching and mentoring skills to provide support to colleagues
- Ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities

Resource Implications

The learner and trainer should have access to appropriate documentation and resources normally used in the workplace

Consistency of Performance

In order to achieve consistency of performance, evidence should be collected over a set period of time which is sufficient to include dealings with an appropriate range and variety of situations

Context/s of Assessment

- Competency is demonstrated by performance of all stated criteria including the Evidence Guide and the Range Statement applicable to the workplace
- Assessment must take account of the endorsed assessment guidelines in the Business Services Training Package
- Assessment of performance requirements in this unit should be undertaken in an actual workplace or simulated environment
- Assessment should reinforce the integration of the key competencies and the business services common competencies for the particular AQF level. Refer to the Key Competency Levels at the end of this unit

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Key Competency Levels

NB: These levels do not relate to the Australian Qualifications Framework. They relate to the seven areas of generic competency that underpin effective workplace practices.

Collect, analyse and organise information	Communicate ideas and information	Plan and organise activities	Work with others and in teams	Use mathematical ideas and techniques	Solve problems	Use technology
Level 2	Level 2	Level 2	Level 2	Level 2	Level 3	Level 2

Three levels of performance denote level of competency required to perform a task.

1. Perform 2. Administer 3. Design

- **Collecting, analysing and organising information** – to obtain information to advise colleagues of safety responsibilities
- **Communicating ideas and information** – to resolve safety issues with work team
- **Planning and organising activities** – to plan resource requirements
- **Working with teams and others** – to consult on the control of risk
- **Using mathematical ideas and techniques** – to calculate resource requirements
- **Solving problems** – to investigate improved work methods
- **Using technology** – to use computing systems to access safety information

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

Business Services Training Package

BSB01

Volume 4D of 8

The contents of this volume refer only to the Endorsed Components of BSB01 Business Services Training Package. This volume should not be read in isolation but in the context of the Training Package as a whole Please refer to the following page for details of other volumes in this Training Package.

This volume contains units of competency for

Occupational Health and Safety Compliance Management

IBSA
INNOVATION & BUSINESS SKILLS AUSTRALIA

BSB01 Business Services Training Package

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Preliminary Information

Important Note to Users

Training Packages are not static documents; they are amended periodically to reflect the latest industry practices and are version controlled. It is essential that the latest version is always used.

Check the version number before commencing training or assessment

This Training Package is Version 4 – check whether this is the latest version by going to the National Training Information Service (www.ntis.gov.au) and locating information about the Training Package. Alternatively, contact Innovation and Business Skills Australia (www.ibsa.org.au) to confirm the latest version number.

Explanation of version number conventions

The primary release Training Package is Version 1. When changes are made to a Training Package, sometimes the version number is changed and sometimes it is not, depending on the extent of the change. When a Training Package is reviewed it is considered to be a new Training Package for the purposes of version control, and is Version 1. Do not confuse the version number with the Training Package's national code (which remains the same during its period of endorsement).

Explanation of the review date

The review date (shown on the title page and in the footer of each page) indicates when the Training Package is expected to be reviewed in the light of changes such as changing technologies and circumstances. The Training Package review date is not an expiry date. Endorsed Training Packages and their components remain current until they are reviewed or replaced.

Version modification history

The version details of this endorsed Training Package are in the table below. The latest information is at the top of the table.

Version	Release Date	Comments
4	**October 2004**	**Fields and domains** Version 4 includes all the fields and domains in Version 3 plus: - a new field of International Services which includes the new domain of International Trade/Business, - an expanded Business Management Services field with two new domains of Occupational Health and Safety (OHS) and Compliance Management, and - an expanded Common Business field to include 1 new unit. In total Version 4 BSB01 contains eight fields and twenty-four domains. **Qualifications added to BSB01 in Version 4** Version 4 includes all the qualifications in Version 3 plus the following six new qualifications. BSB30803 Certificate III in Business (International Trade) BSB42003 Certificate IV in Business (International Trade) BSB41603 Certificate IV in Occupational Health and Safety BSB51903 Diploma in International Business BSB51603 Diploma of Occupational Health and Safety BSB61003 Advanced Diploma of Occupational Health and Safety **Qualification Guide amendments** The Qualification Guide has been amended to include the new qualifications.

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Version	Release Date	Comments
		Units of competency This version includes all the units of competency provided in Version 3 plus the following additional fifty-seven new units of competency. BSBCMN421A Assist with compliance with OHS and other relevant laws BSBOHS401A Contribute to the implementation of a systematic approach to managing OHS BSBOHS402A Contribute to the implementation of the OHS consultation process BSBOHS403A Identify hazards and assess OHS risks BSBOHS404A Contribute to the implementation of strategies to control OHS risk BSBOHS405A Contribute to the implementation of emergency procedures BSBOHS406A Use equipment to conduct workplace monitoring BSBOHS501A Participate in the coordination and maintenance of a systematic approach to managing OHS BSBOHS502A Participate in the management of the OHS information and data systems BSBOHS503A Assist in the design and development of OHS participative arrangements BSBOHS504A Apply principles of OHS risk management BSBOHS505A Manage hazards in the work environment BSBOHS506A Monitor and facilitate the management of hazards associated with plant BSBOHS507A Facilitate the application of principles of occupational health to control OHS risk BSBOHS508A Participate in the investigation of incidents BSBOHS601A Develop a systematic approach to managing OHS BSBOHS602A Develop OHS information and data analysis and reporting and recording processes BSBOHS603A Analyse and evaluate OHS risk BSBOHS604A Apply ergonomic principles to control OHS risk BSBOHS605A Apply occupational hygiene principles to control OHS risk BSBOHS606A Develop and implement crisis management processes BSBOHS607A Advise on application of safe design principles to control OHS risk BSBOHS608A Conduct an OHS audit BSBOHS609A Evaluate an organisation's OHS performance BSBCOM401A Organise and monitor the operation of compliance management system BSBCOM402A Implement processes for the management of breaches in compliance requirements BSBCOM403A Promote and liaise on compliance requirements, systems and related issues BSBCOM501A Identify and interpret compliance requirements BSBCOM502A Evaluate and review compliance BSBCOM503A Develop processes for the management of breaches in compliance requirements BSBCOM504A Create a culture of compliance within an organisation BSBCOM601A Research compliance requirements and issues BSBCOM602A Develop and create compliance requirements BSBCOM603A Plan and establish compliance management systems BSBINT301A Apply knowledge of the international trade environment to complete work BSBINT302A Apply knowledge of legislation relevant to international trade to complete work BSBINT303A Organise the importing and exporting of goods BSBINT304A Assist in the international transfer of services BSBINT305A Prepare business documents for the international trade of goods BSBINT306A Apply knowledge of international finance and insurance to complete work requirements BSBINT401A Research international business opportunities BSBINT402A Market goods and services internationally BSBINT403A Research international markets BSBINT404A Implement international client relationship strategies BSBINT405A Apply knowledge of import and export international conventions, laws and finance BSBINT406A Promote compliance with legislation BSBINT407A Prepare business advice on export Free on Board Value BSBINT408A Prepare business advice on the taxes and duties for international trade transactions

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Version	Release Date	Comments
		BSBINT409A Plan for international trade BSBINT501A Profile international markets BSBINT502A Analyse consumer behaviour for specific international markets BSBINT503A Analyse data from international markets BSBINT504A Forecast international market and business needs BSBINT505A Build international client relationships BSBINT506A Build international business networks BSBINT507A Report on finances related to international business BSBINT508A Promote products and services to international markets
3	**March 2004**	Version 3 of BSB01 Business Services Training Package included the seven fields and twelve domains developed in Phase One (see version 1 & 2 notes below) together with the extensions to fields, additional domains, new units of competency and new and replacement qualifications developed in Phase Two as described below. **Fields expanded in Phase Two** ***Common Business*** – expanded to incorporate units of competency under additional areas (business communication; generalist marketing; first aid; project management; risk management; customer service; diversity and knowledge management). ***Business Administration Services*** – expanded to incorporate units of competency and qualifications in two new domains – Purchasing and Medical Administration. ***Business Management Services***– expanded to incorporate units of competency and qualifications in three new domains – Project Management, Franchising, Quality Auditing, and to provide additional Strategic Management units. ***Human Resources Management*** – expanded to incorporate units of competency and qualifications in two new domains – Unionism and Employment Services, and to provide additional Human Resources units. ***Business Development*** – expanded to incorporate additional units of competency for the Marketing domain. **Domains developed in Phase Two** Purchasing Medical Administration Project Management Franchising Unionism Employment Services Quality Auditing Frontline Management (review only) **Qualifications added to BSB01 in Phase Two** BSB30504 Certificate III in Business (Frontline Management) BSB30704 Certificate III in Business (Medical Administration) BSB41004 Certificate IV in Business (Frontline Management) BSB41404 Certificate IV in Business (Purchasing) BSB41504 Certificate IV in Project Management BSB41704 Certificate IV in Business (Franchising) BSB41804 Certificate IV in Unionism BSB41904 Certificate IV in Business (Employment Services) BSB51004 Diploma of Business (Frontline Management) BSB51404 Diploma of Business (Purchasing) BSB51504 Diploma of Project Management BSB51704 Diploma of Business (Franchising) BSB51804 Diploma of Unionism BSB51904 Diploma of Business (Quality Auditing) BSB60904 Advanced Diploma of Project Management **Deleted/replaced qualifications** The Frontline Management qualifications from BSB01 Versions 1 & 2 – BSB30501 Certificate III in Frontline Management, BSB41001 Certificate IV in Business (Frontline Management) and BSB51001 Diploma of Business (Frontline Management) are now replaced by new frontline qualifications at the same qualification as shown in the list above. **Qualifications Framework amendments** The Qualifications Framework has been amended to include the new qualifications, provide advice about replaced qualifications and provide specific packaging rules for three of the new qualifications – BSB41504 Certificate IV in Project Management, BSB51504 Diploma of Project Management, BSB60904 Advanced Diploma of Project Management – these have different rules and structure to the rest of the qualifications in BSB01.

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Version	Release Date	Comments
		Deleted/replaced units of competency • BSBFLM302A Support leadership in the workplace (deleted) • BSBFLM304A Participate in work teams (deleted) Because of overlap these units were replaced with a new unit – BSBFLM312A Contribute to team effectiveness • BSBFLM402A Show leadership in the workplace (deleted) • BSBFLM404A Lead work teams (deleted) Because of overlap these units were replaced with a new unit – BSBFLM412A Promote team effectiveness • BSBFLM502A Provide leadership in the workplace (deleted) • BSBFLM504A Facilitate work teams (deleted) Because of overlap these units were replaced with a new unit – BSBFLM512A Ensure team effectiveness **Imported units of competency** The following units of competency included in this version were imported from other Training Packages THHGLE09B Manage workplace diversity CHCAD1C Advocate for clients CHCCS1B Deliver and monitor service to clients CHCCS401A Facilitate cooperative behaviour CHCES302A Work with government in a purchaser provider relationship CHCES304A Deliver recruitment services CHCES305A Monitor New Apprenticeships arrangements CHCES402A Deliver New Apprenticeship services CHCES301A Work in the Employment Services area CHCCAR501A Provide careers guidance CHCES303A Use labour market information CHCCM2C Establish and monitor a case plan CHCES406A Provide job search support CHCCM4B Promote high quality case management CHCORG29A Provide coaching and motivation CHCCS2C Deliver and develop client service CHCCD12C Apply a community development framework CHCCS3C Coordinate the provision of services and programs CHCCS402A Respond holistically to complex client issues CHCCS5B Identify and address specific client needs CHCCS405A Work effectively with culturally diverse clients and co-workers CHCES405A Monitor service performance in a purchaser provider relationship with government CHCDIS8B Support people with disabilities as workers CHCCS6B Assess and deliver services to clients with complex needs CHCDIS9B Maximise participation in work by people with disabilities CHCDIS18A Support students with special needs CHCES502A Research and report on labour market information CHCES401A Analyse and apply labour market information CHCCS4C Manage the delivery of quality client service CHCES403A Develop and monitor employment plans CHCDIS11B Coordinate disability work CHCES404A Promote clients to employers CHCES501A Manage service delivery in a purchaser-provider relationship with government CHCES501A Manage service delivery in a purchaser-provider relationship with government PSPGOV603A Develop a tender submission LGACOM409A Prepare tender documents PSPPROC602A Direct management of contracts PSPPROC702A Establish the procurement context
2	**1 May 2002**	**Addition of e-Business field** Version 2 added the new field of e-Business involving fifty-nine new units of competency and eight new qualifications to BSB01. The development of this field of BSB01 was part of the Phase One work but endorsed later than the bulk of Phase One development.

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Version	Release Date	Comments
1	**3 September 2001**	**Fields covered by BSB01 Business Services Training Package Version 1** Version 1 reflected Phase One of the development of the Business Services Training Package (less e-Business field – see Version 2 note above) and included the following fields and domains. • Common Business • Business Administration Services • Business Information Services • Business Management Services • Human Resource Management • Business Development **Domains developed in Phase One:** • Specialist Administration • Legal Services • Recordkeeping • Frontline Management • Governance (Indigenous Organisations) • Small Business Management • Strategic Management • Human Resources • Assessment & Workplace Training (included as part of BSB01) • Advertising • Marketing • Sales

Summary of qualifications in BSB01 Business Services Training Package

All the Australian Qualifications Framework (AQF) qualifications in BSB01 are listed below.

CERTIFICATE I
BSB10101 Certificate I in Business

CERTIFICATE II
BSB20101 Certificate II in Business

CERTIFICATE III
BSB30101 Certificate III in Business
BSA30200 Certificate III in Business (Legal Administration)
BSB30201 Certificate III in Business Administration
BSB30301 Certificate III in Business (Sales)
BSB30401 Certificate III in Business (Recordkeeping)
BSB30503 Certificate III in Business (Frontline Management)
BSB30601 Certificate III in e-Business
BSB30703 Certificate III in Business (Medical Administration)
BSB30803 Certificate III in Business (International Trade)

CERTIFICATE IV
BSB40101 Certificate IV in Business
BSB40201 Certificate IV in Business Administration
BSB40301 Certificate IV in Business (Recordkeeping)
BSB40401 Certificate IV in Business (Small Business Management)
BSB40501 Certificate IV in Business Development
BSB40601 Certificate IV in Business (Advertising)
BSB40701 Certificate IV in Business (Marketing)
BSB40801 Certificate IV in Business (Human Resources)
BSB40901 Certificate IV in Business (Governance)
BSB41003 Certificate IV in Business (Frontline Management)
BSB41101 Certificate IV in Business Management
BSA40200 Certificate IV in Business (Legal Services)
BSB41201 Certificate IV in e-Business
BSB41301 Certificate IV in e-Business Development
BSB41403 Certificate IV in Business (Purchasing)
BSB41503 Certificate IV in Project Management
BSB41703 Certificate IV in Business (Franchising)
BSB41803 Certificate IV in Unionism
BSB41903 Certificate IV in Business (Employment Services)
BSB42003 Certificate IV in Business (International Trade)
BSB41603 Certificate IV in Occupational Health and Safety

DIPLOMA
BSB50101 Diploma of Business
BSB50201 Diploma of Business Administration
BSB50301 Diploma of Business (Recordkeeping)
BSB50401 Diploma of Business Management
BSB50501 Diploma of Business Development
BSB50601 Diploma of Business (Advertising)
BSB50701 Diploma of Business (Marketing)
BSB50801 Diploma of Business (Human Resources)
BSB50901 Diploma of Business (Governance)
BSA50200 Diploma of Business (Legal Services)
BSB51003 Diploma of Business (Frontline Management)
BSB51101 Diploma of e-Business
BSB51201 Diploma of Strategic e-Business Development
BSB51301 Diploma of e-Learning
BSB51403 Diploma of Business (Purchasing)
BSB51503 Diploma of Project Management
BSB51703 Diploma of Business (Franchising)
BSB51803 Diploma of Unionism
BSB51903 Diploma of Business (Quality Auditing)
BSB51903 Diploma in International Business
BSB51603 Diploma of Occupational Health and Safety

ADVANCED DIPLOMA
BSB60101 Advanced Diploma of Business (Recordkeeping)
BSB60201 Advanced Diploma of Business Management
BSB60301 Advanced Diploma of Business (Human Resources)
BSB60401 Advanced Diploma of Business Development
BSB60501 Advanced Diploma of Business (Advertising)
BSB60601 Advanced Diploma of Business (Marketing)
BSB60701 Advanced Diploma of e-Business
BSB60801 Advanced Diploma of Strategic e-Business Development
BSB60903 Advanced Diploma of Project Management
BSB61003 Advanced Diploma of Occupational Health and Safety

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Units of competency in BSB01 Business Services Training Package

All the units of competency in BSB01 are listed below under fields and domains.

Note: Imported units are also shown in the lists below – either in the list relating to the specific domain, or in the list at the end titled 'Units imported from other Training Packages'. Where they are in the domain list they make up part of a specific qualification in that domain; where they are in the list of imported units, they can be selected according to the packaging advice in the Qualification Guide.

COMMON BUSINESS FIELD

Certificate I

BSBCMN101A	Prepare for work
BSBCMN102A	Complete daily work activities
BSBCMN103A	Apply basic communication skills
BSBCMN104A	Plan skills development
BSBCMN105A	Use business equipment
BSBCMN106A	Follow workplace safety procedures
BSBCMN107A	Operate a personal computer
BSBCMN108A	Develop keyboard skills
BSBCMN109A	Follow environmental work practices

Certificate II

BSBCMN201A	Work effectively in a business environment
BSBCMN202A	Organise and complete daily work activities
BSBCMN203A	Communicate in the workplace
BSBCMN204A	Work effectively with others
BSBCMN205A	Use business technology
BSBCMN206A	Process and maintain workplace information
BSBCMN207A	Prepare and process financial/business documents
BSBCMN208A	Deliver a service to customers
BSBCMN209A	Provide information to clients
BSBCMN210A	Implement improved work practices
BSBCMN211A	Participate in workplace safety procedures
BSBCMN212A	Handle mail
BSBCMN213A	Produce simple wordprocessed documents
BSBCMN214A	Create and use simple spreadsheets
BSBCMN215A	Participate in environmental work practices
BSBCMN216A	Create customer relationship
BSBCMN217A	Process customer feedback
BSBCMN218A	Apply basic first aid

Certificate III

BSBCMN301A	Exercise initiative in a business environment
BSBCMN302A	Organise personal work priorities and development
BSBCMN304A	Contribute to personal skill development and learning
BSBCMN305A	Organise workplace information
BSBCMN306A	Produce business documents
BSBCMN307A	Maintain business resources
BSBCMN308A	Maintain financial records
BSBCMN309A	Recommend products and services
BSBCMN310A	Deliver and monitor a service to customers
BSBCMN311A	Maintain workplace safety
BSBCMN312A	Support innovation and change
BSBCMN313A	Maintain environmental procedures
BSBCMN314A	Utilise a knowledge management system
BSBCMN315A	Work effectively with diversity
BSBCMN316A	Process customer complaints
BSBCMN317A	Meet customer needs and expectations
BSBCMN318A	Write simple documents
BSBCMN319A	Apply advanced first aid
BSBCMN320A	Maintain first aid equipment and resources

Certificate IV

BSBCMN402A	Develop work priorities
BSBCMN403A	Establish business networks
BSBCMN404A	Develop teams and individuals
BSBCMN405A	Analyse and present research information
BSBCMN406A	Maintain business technology
BSBCMN407A	Coordinate business resources
BSBCMN408A	Report on financial activity
BSBCMN409A	Promote products and services
BSBCMN410A	Coordinate implementation of customer service strategies
BSBCMN411A	Monitor a safe workplace
BSBCMN412A	Promote innovation and change
BSBCMN413A	Implement and monitor environmental policies
BSBCMN414A	Undertake marketing activities
BSBCMN415A	Manage first aid policy
BSBCMN416A	Identify risk and apply risk management processes
BSBCMN417A	Coordinate customer service activities
BSBCMN418A	Address customer needs
BSBCMN419A	Manage projects
BSBCMN420A	Write complex documents
BSBCMN421A	Assist with compliance with OHS and other relevant laws

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BUSINESS ADMINISTRATION SERVICES FIELD

SPECIALIST ADMINISTRATION

Certificate III

BSBADM301A	Produce texts from shorthand notes
BSBADM302A	Produce texts from notes
BSBADM303A	Produce texts from audio transcription
BSBADM304A	Design and develop text documents
BSBADM305A	Create and use databases
BSBADM306A	Create electronic presentations
BSBADM307A	Organise schedules
BSBADM308A	Process payroll
BSBADM309A	Process accounts payable and receivable
BSBADM310A	Maintain a general ledger

Certificate IV

BSBADM401A	Produce complex texts from shorthand notes
BSBADM402A	Produce complex business documents
BSBADM403A	Develop and use complex databases
BSBADM404A	Develop and use complex spreadsheets
BSBADM405A	Organise meetings
BSBADM406A	Organise business travel
BSBADM407A	Administer projects
BSBADM408A	Prepare financial reports

Diploma

BSBADM501A	Manage the establishment and maintenance of a workgroup network
BSBADM502A	Manage meetings
BSBADM503A	Plan and manage conferences
BSBADM504A	Plan or review administration systems
BSBADM505A	Manage payroll
BSBADM506A	Manage business document design and development

LEGAL SERVICES

Certificate III

BSALPP301A	Apply knowledge of the legal system to complete tasks
BSALPP302A	Carry out search of the public record
BSALPP303A	Deliver court documentation
BSACS301A	Apply the principles of confidentiality and security within the legal environment
BSALR301A	Handle receipt and despatch of information
BSALC301A	Use legal terminology in order to carry out tasks
BSALO301A	Assist in prioritising and planning activities in a legal practice
BSALF301A	Maintain records for time and disbursements in a legal practice

Certificate IV

BSALPP401A	Prepare and produce complex legal documents
BSACS401A	Provide non-legal advice
BSALC401A	Interact with other parties
BSALC402A	Research, locate and provide legal and other information in response to requests
BSALF401A	Maintain trust accounts
BSALPL401A	Provide support in Property Law matters
BSALPL402A	Provide support in Family Law matters
BSALPL403A	Provide support in Criminal Law matters
BSALPL404A	Provide support in Commercial Law matters
FNAMERC03B	Serve legal process
BSALLG401A	Arrange documents and list exhibits for litigation support
206/01	Take instructions in relation to a transaction
206/05	Prepare and execute documents
CHCAD2A	Support the interests, rights and needs of clients within duty of care requirements
CHCCD7A	Support community resources
CHCCD3A	Meet information needs of the community
CHCCD1A	Support community participation

Diploma

BSALC501A	Run a file
BSALO501A	Perform legal research and prepare reports to meet identified needs
BSALPP501A	Obtain information from a client
BSALPP502A	Draft legally binding documents
BSALLG501A	Assist with the discovery process
BSALLG502A	Appear in court
BSALLG503A	Attend pre-trial negotiations
BSALPL501A	Cost complex files
BSALPL502A	Administer in-house mortgage practice
206/04	Negotiate with others to achieve tasks and goals
206/09	Finalise transaction
CHCCD8A	Support community action
CHCCD13A	Work within specific communities
CHCCD11A	Provide advocacy and representation

PURCHASING

Certificate III

BSBPUR301A	Purchase goods and services

Certificate IV

BSBPUR401A	Plan purchasing
BSBPUR402A	Negotiate contracts
BSBPUR403A	Conduct international purchasing

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Diploma	
BSBPUR501A	Develop, implement and review purchasing strategies
BSBPUR502A	Manage supplier relationships
BSBPUR503A	Manage international purchasing
BSBPUR504A	Manage a supply chain

MEDICAL ADMINISTRATION

Certificate II	
BSBMED201A	Use basic medical terminology
BSBMED202A	Follow OHS policies and procedures in medical office

Certificate III	
BSBMED301A	Use advanced medical terminology
BSBMED302A	Prepare and process medical accounts
BSBMED303A	Maintain patient records
BSBMED304A	Assist in controlling stocks and supplies
BSBMED305A	Apply the principles of confidentiality, privacy and security within the medical environment

Certificate IV	
BSBMED401A	Manage patient record-keeping system
BSBMED402A	Control stocks and supplies

BUSINESS INFORMATION SERVICES FIELD

RECORDKEEPING

Certificate III	
BSBRKG301A	Control records
BSBRKG302A	Undertake disposal
BSBRKG303A	Retrieve information from records
BSBRKG304A	Maintain business records

Certificate IV	
BSBRKG401A	Review the status of a record
BSBRKG402A	Provide information from and about records
BSBRKG403A	Set up a business or records system for a small office
BSBEBUS406A	Monitor and maintain records in an online environment

Diploma	
BSBRKG501A	Determine business or records system specifications
BSBRKG502A	Manage and monitor business or records systems
BSBRKG503A	Develop and maintain a classification scheme
BSBRKG504A	Develop terminology for activities and records
BSBRKG505A	Document or reconstruct a business or records system

Advanced Diploma	
BSBRKG601A	Define recordkeeping framework
BSBRKG602A	Develop recordkeeping policy
BSBRKG603A	Prepare a functional analysis for an organisation
BSBRKG604A	Determine security and access rules and procedures
BSBRKG605A	Determine records requirements to document a function
BSBRKG606A	Design a records retention and disposal schedule
BSBRKG607A	Document and monitor the record-creating context
BSBRKG608A	Plan management of records over time

BUSINESS MANAGEMENT SERVICES FIELD

SMALL BUSINESS MANAGEMENT

Certificate III	
BSBSBM301A	Research business opportunities

Certificate IV	
BSBSBM401A	Establish business and legal requirements
BSBSBM402A	Undertake financial planning
BSBSBM403A	Promote the business
BSBSBM404A	Undertake business planning
BSBSBM405A	Monitor and manage business operations
BSBSBM406A	Manage finances
BSBSBM407A	Manage a small team

FRONTLINE MANAGEMENT

Certificate III	
BSBFLM303B	Contribute to effective workplace relationships
BSBFLM305B	Support operational plan
BSBFLM306B	Provide workplace information and resourcing plans
BSBFLM309B	Support continuous improvement systems and processes
BSBFLM311B	Support a workplace learning environment
BSBFLM312A	Contribute to team effectiveness

Certificate IV	
BSBFLM403B	Implement effective workplace relationships
BSBFLM405B	Implement operational plan
BSBFLM406B	Implement workplace information system
BSBFLM409B	Implement continuous improvement
BSBFLM412A	Promote team effectiveness

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Diploma

BSBFLM501B	Manage personal work priorities and professional development
BSBFLM503B	Manage effective workplace relationships
BSBFLM505B	Manage operational plan
BSBFLM506B	Manage workplace information systems
BSBFLM507B	Manage quality customer service
BSBFLM509B	Facilitate continuous improvement
BSBFLM510B	Facilitate and capitalise on change and innovation
BSBFLM511B	Develop a workplace learning environment
BSBFLM512A	Ensure team effectiveness
BSBFLM513A	Manage budgets and financial plans within the work team
BSBFLM514A	Manage people

GOVERNANCE (INDIGENOUS ORGANISATIONS)

Certificate IV

BSBATSIL401A	Meet the roles and responsibilities of a Board member (1)
BSBATSIL402A	Use the constitution
BSBATSIC403A	Maintain and protect culture
BSBATSIM404A	Use the business plan
BSBATSIM405A	Monitor financial management and budgets
BSBATSIM406A	Manage assets
BSBATSIM407A	Plan for organisational needs
BSBATSIL408A	Manage a Board meeting
BSBATSIL409A	Manage time
BSBATSIL410A	Manage stress
BSBATSIC411A	Communicate with the community
BSBATSIM412A	Implement a business-like approach
BSBATSIM413A	Oversee business planning
BSBATSIM414A	Oversee the organisation's annual budget
BSBATSIM415A	Contribute to a positive and culturally appropriate workplace
BSBATSIW416A	Obtain and manage consultancy services
BSBATSIW417A	Select and utilise technology

Diploma

BSBATSIL501A	Meet the roles and responsibilities of a Board member (2)
BSBATSIL502A	Work with the manager
BSBATSIL503A	Manage conflict
BSBATSIM504A	Develop and implement organisational policies
BSBATSIM505A	Control organisation finances
BSBATSIM506A	Develop employment policies
BSBATSIM507A	Establish and maintain a strategic planning cycle
BSBATSIL508A	Be a community leader
BSBATSIL509A	Manage self as a Board member
BSBATSIC510A	Conduct a community meeting
BSBATSIM511A	Develop enterprise opportunities
BSBATSIM512A	Manage board competencies
BSBATSIM513A	Oversee recruitment and induction of staff
BSBATSIW514A	Represent your organisation
BSBATSIW515A	Secure funding

STRATEGIC MANAGEMENT

Diploma

BSBMGT501A	Market services and concepts to internal customers
BSBMGT502A	Manage people performance
BSBMGT503A	Prepare budgets and financial plans
BSBMGT504A	Manage budgets and financial plans
BSBMGT505A	Ensure a safe workplace
BSBMGT506A	Recruit, select and induct staff
BSBMGT507A	Manage environmental performance
BSBMGT508A	Manage risk management system
BSBMGT509A	Manage a knowledge management system
BSBMGT510A	Determine needs of customer populations
BSBMGT511A	Develop a business opportunity
BSBMGT512A	Manage relationships in a family business
BSBMGT513A	Plan for family business succession
BSBMGT514A	Plan and manage growth in a family business

Advanced Diploma

BSBMGT601A	Contribute to strategic direction
BSBMGT602A	Contribute to the development and implementation of strategic plans
BSBMGT603A	Review and develop business plans
BSBMGT604A	Manage business operations
BSBMGT605A	Provide leadership across the organisation
BSBMGT606A	Manage customer focus
BSBMGT607A	Manage knowledge and information
BSBMGT608A	Manage innovation and continuous improvement
BSBMGT609A	Manage risk
BSBMGT610A	Manage environmental management systems
BSBMGT611A	Develop risk management strategy
BSBMGT612A	Plan and implement a knowledge management system
BSBMGT613A	Review and improve a knowledge management system
BSBMGT614A	Develop and implement diversity policy

PROJECT MANAGEMENT

Certificate IV

BSBPM401A	Apply scope management techniques
BSBPM402A	Apply time management techniques
BSBPM403A	Apply cost management techniques
BSBPM404A	Apply quality management techniques

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BSBPM405A	Apply human resource management approaches
BSBPM406A	Apply communications management techniques
BSBPM407A	Apply risk management techniques
BSBPM408A	Apply contract procurement techniques

Diploma

BSBPM501A	Manage application of project integrative processes
BSBPM502A	Manage project scope
BSBPM503A	Manage project time
BSBPM504A	Manage project costs
BSBPM505A	Manage project quality
BSBPM506A	Manage project human resources
BSBPM507A	Manage project communications
BSBPM508A	Manage project risk
BSBPM509A	Manage project procurement

Advanced Diploma

BSBPM601A	Direct the integration of multiple projects/programs
BSBPM602A	Direct the scope of multiple projects/programs
BSBPM603A	Direct time management of multiple projects/programs
BSBPM604A	Direct cost management of multiple projects/programs
BSBPM605A	Direct quality management of multiple projects/programs
BSBPM606A	Direct human resources management of multiple projects/programs
BSBPM607A	Direct communications management of multiple projects/programs
BSBPM608A	Direct risk management of multiple projects/programs
BSBPM609A	Direct project procurement and contracts of multiple projects/programs

FRANCHISING

Certificate III

BSBFRA301A	Work within a franchise

Certificate IV

BSBFRA401A	Manage compliance with franchisee obligations and legislative requirements
BSBFRA402A	Establish a franchise
BSBFRA403A	Manage relationship with franchisor
BSBFRA404A	Manage a multiple site franchise

Diploma

BSBFRA501A	Establish a franchise operation
BSBFRA502A	Manage a franchise operation
BSBFRA503A	Manage establishment of new sites or regions
BSBFRA504A	Manage relationships with franchisees
BSBFRA505A	Manage closure of a franchise

QUALITY AUDITING

Certificate IV

BSBAUD401A	Prepare for a quality audit
BSBAUD402A	Participate in a quality audit

Diploma

BSBAUD501A	Initiate a quality audit
BSBAUD502A	Prepare to lead a quality audit
BSBAUD503A	Lead a quality audit
BSBAUD504A	Report on a quality audit

OHS

Certificate IV

BSBOHS401A	Contribute to the implementation of a systematic approach to managing OHS
BSBOHS402A	Contribute to the implementation of the OHS consultation process
BSBOHS403A	Identify hazards and assess OHS risks
BSBOHS404A	Contribute to the implementation of strategies to control OHS risk
BSBOHS405A	Contribute to the implementation of emergency procedures
BSBOHS406A	Use equipment to conduct workplace monitoring

Diploma

BSBOHS501A	Participate in the coordination and maintenance of a systematic approach to managing OHS
BSBOHS502A	Participate in the management of the OHS information and data systems
BSBOHS503A	Assist in the design and development of OHS participative arrangements
BSBOHS504A	Apply principles of OHS risk management
BSBOHS505A	Manage hazards in the work environment
BSBOHS506A	Monitor and facilitate the management of hazards associated with plant
BSBOHS507A	Facilitate the application of principles of occupational health to control OHS risk
BSBOHS508A	Participate in the investigation of incidents

Advanced Diploma

BSBOHS601A	Develop a systematic approach to managing OHS
BSBOHS602A	Develop OHS information and data analysis and reporting and recording processes
BSBOHS603A	Analyse and evaluate OHS risk
BSBOHS604A	Apply ergonomic principles to control OHS risk

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BSBOHS605A	Apply occupational hygiene principles to control OHS risk
BSBOHS606A	Develop and implement crisis management processes
BSBOHS607A	Advise on application of safe design principles to control OHS risk
BSBOHS608A	Conduct an OHS audit
BSBOHS609A	Evaluate an organisation's OHS performance

COMPLIANCE MANAGEMENT

Certificate IV

BSBCOM401A	Organise and monitor the operation of compliance management system
BSBCOM402A	Implement processes for the management of breaches in compliance requirements
BSBCOM403A	Promote and liaise on compliance requirements, systems and related issues

Diploma

BSBCOM501A	Identify and interpret compliance requirements
BSBCOM502A	Evaluate and review compliance
BSBCOM503A	Develop processes for the management of breaches in compliance requirements
BSBCOM504A	Create a culture of compliance within an organisation

Advanced Diploma

BSBCOM601A	Research compliance requirements and issues
BSBCOM602A	Develop and create compliance requirements
BSBCOM603A	Plan and establish compliance management systems

HUMAN RESOURCES MANAGEMENT FIELD

HUMAN RESOURCES

Certificate IV

BSBHR401A	Administer human resource systems
BSBHR402A	Recruit and select personnel
BSBHR403A	Process human resource documents and inquiries
BSBHR404A	Co-ordinate human resource services
BSBHR405A	Implement industrial relations procedures

Diploma

BSBHR501A	Manage human resource consultancy services
BSBHR502A	Manage human resource management information systems
BSBHR503A	Manage performance management systems
BSBHR504A	Manage industrial relations policies and processes
BSBHR505A	Manage remuneration and employee benefits
BSBHR506A	Manage recruitment selection and induction processes
BSBHR507A	Manage separation/termination
BSBHR508A	Manage work/life skills
BSBHR509A	Manage rehabilitation/return to work programs
BSBHR510A	Plan mediation processes
BSBHR511A	Implement mediation processes
BSBHR512A	Manage industrial relations initiatives
BSBHR513A	Manage industrial relations disputes

Advanced Diploma

BSBHR601A	Manage change
BSBHR602A	Manage human resource strategic planning
BSBHR603A	Contribute to organisation development
BSBHR604A	Manage employee relations
BSBHR605A	Contribute to organisation design

ASSESSMENT AND WORKPLACE TRAINING

Certificate IV

BSZ401A	Plan assessment
BSZ402A	Conduct assessment
BSZ403A	Review assessment
BSZ404A	Train small groups
BSZ405A	Plan and promote a training program
BSZ406A	Plan a series of training sessions
BSZ407A	Deliver training sessions
BSZ408A	Review training

Diploma

BSZ501A	Analyse competency requirements
BSZ502A	Design and establish the training system
BSZ503A	Design and establish the assessment system
BSZ504A	Manage the training and assessment system
BSZ505A	Evaluate the training and assessment system
BSZ506A	Develop assessment procedures
BSZ507A	Develop assessment tools
BSZ508A	Design training courses

UNIONISM

Certificate IV

BSBUN401A	Develop and implement an organising plan
BSBUN402A	Empower members
BSBUN403A	Communicate with workers

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BSBUN404A	Promote equality of opportunity and fair treatment for all members
BSBUN405A	Promote the values, principles and policies of the union
BSBUN406A	Undertake bargaining
BSBUN407A	Provide advice to union members and undertake negotiations
BSBUN408A	Prepare cases for the union
BSBUN409A	Appear before tribunals and represent members

Diploma

BSBUN501A	Develop, manage and review campaigns and projects
BSBUN502A	Represent the union in key forums
BSBUN503A	Coordinate case preparation and research
BSBUN504A	Advocate and present cases for members
BSBUN505A	Develop, implement and manage union policy
BSBUN506A	Coordinate research and analysis

EMPLOYMENT SERVICES

Certificate IV

BSBEMS401A	Develop and implement business development strategies to expand client base
BSBEMS402A	Develop and implement strategies to source and assess candidates
BSBEMS403A	Develop and provide employment management services to candidates
BSBEMS404A	Manage the recruitment process for client organisations

BUSINESS DEVELOPMENT FIELD

ADVERTISING

Certificate IV

BSBADV401A	Profile a target audience
BSBADV402A	Conduct pre-campaign testing
BSBADV403A	Monitor advertising production
BSBADV404A	Schedule advertisements

Diploma

BSBADV501A	Develop a creative concept
BSBADV502A	Write persuasive copy
BSBADV503A	Coordinate advertising research
BSBADV504A	Create advertisements
BSBADV505A	Evaluate and recommend 'above the line' media options
BSBADV506A	Evaluate and recommend 'below the line' media options
BSBADV507A	Develop a media plan
BSBADV508A	Present an advertising campaign

Advanced Diploma

BSBADV601A	Create an advertising brief
BSBADV602A	Develop an advertising campaign
BSBADV603A	Manage advertising production
BSBADV604A	Execute an advertising campaign
BSBADV605A	Evaluate campaign effectiveness

MARKETING

Certificate III

BSBMKG301A	Research the market
BSBMKG302A	Identify marketing opportunities
BSBMKG303A	Draft an elementary marketing audit report
BSBMKG304A	Assist with market research

Certificate IV

BSBMKG401A	Profile the market
BSBMKG402A	Analyse consumer behaviour for specific markets
BSBMKG403A	Analyse market data
BSBMKG404A	Forecast market and business needs
BSBMKG405A	Implement and monitor marketing activities
BSBMKG406A	Build client relationships
BSBMKG407A	Make a presentation
BSBMKG408A	Conduct market research

Diploma

BSBMKG501A	Evaluate marketing opportunities
BSBMKG502A	Establish and adjust the marketing mix
BSBMKG503A	Develop a marketing communications plan
BSBMKG504A	Implement a marketing solution
BSBMKG505A	Review marketing performance
BSBMKG506A	Plan market research

Advanced Diploma

BSBMKG601A	Develop marketing strategies
BSBMKG602A	Develop a marketing plan
BSBMKG603A	Manage the marketing process
BSBMKG604A	Develop and manage direct marketing campaigns
BSBMKG605A	Evaluate international marketing opportunities
BSBMKG606A	Manage international marketing programs
BSBMKG607A	Manage market research

SALES

Certificate III

BSBSLS301A	Develop product knowledge
BSBSLS302A	Identify sales prospects
BSBSLS303A	Present a sales solution
BSBSLS304A	Secure prospect commitment
BSBSLS305A	Support post-sale activities
BSBSLS306A	Self-manage sales performance

Certificate IV

BSBSLS401A	Lead a sales team

E-BUSINESS FIELD

e-BUSINESS

Certificate III

BSBEBUS301A	Search and assess online business information
BSBEBUS302A	Use and maintain electronic mail system
BSBEBUS303A	Participate in a virtual community
BSBEBUS304A	Buy online
BSBEBUS305A	Sell online
BSBEBUS306A	Make payments online
BSBEBUS307A	Bank online
BSBEBUS308A	Maintain online business records
BSBEBUS309A	Undertake e-learning
BSBEBUS310A	Work effectively as an off-site e-worker

Certificate IV

BSBEBUS401A	Conduct online research
BSBEBUS402A	Implement e-correspondence policies
BSBEBUS403A	Communicate electronically
BSBEBUS404A	Trade online
BSBEBUS405A	Conduct online financial transactions
BSBEBUS406A	Monitor and maintain records in an online environment
BSBEBUS407A	Review and maintain the business aspects of a website
BSBEBUS408A	Implement and monitor delivery of quality customer service online
BSBEBUS409A	Lead and facilitate e-staff

Diploma

BSBEBUS501A	Evaluate e-business opportunities
BSBEBUS502A	Evaluate e-business models
BSBEBUS503A	Design an e-business
BSBEBUS504A	implement an e-business strategy
BSBEBUS505A	Implement new technologies for business
BSBEBUS506A	Plan and develop a business website
BSBEBUS507A	Manage the business aspects of a website
BSBEBUS508A	Build a virtual community
BSBEBUS509A	Implement e-business outsourcing arrangements
BSBEBUS510A	Manage e-business outsourcing
BSBEBUS511A	Implement a knowledge management strategy for an e-business
BSBEBUS512A	Implement electronic communication policy
BSBEBUS513A	Plan e-learning
BSBEBUS514A	Implement e-learning
BSBEBUS515A	Facilitate e-learning
BSBEBUS516A	Manage online purchasing
BSBEBUS517A	Manage online inventory
BSBEBUS518A	Manage an e-business supply chain
BSBEBUS519A	Manage online sales systems
BSBEBUS520A	Manage online payments systems
BSBEBUS521A	Plan e-marketing communications
BSBEBUS522A	Conduct e-marketing communications
BSBEBUS523A	Investigate and plan e-work business solutions
BSBEBUS524A	Implement and manage e-working arrangements

Advanced Diploma

BSBEBUS601A	Develop an e-business strategy
BSBEBUS602A	Develop an action plan for an e-business strategy
BSBEBUS603A	Evaluate new technologies for business
BSBEBUS604A	Develop a business website strategy
BSBEBUS605A	Identify and implement e-business innovation
BSBEBUS606A	Manage e-business risk
BSBEBUS607A	Develop e-business outsourcing policy and guidelines
BSBEBUS608A	Develop and implement online information policy
BSBEBUS609A	Develop a knowledge management strategy for an e-business
BSBEBUS610A	Develop electronic communication policy
BSBEBUS611A	Develop and implement e-business human resource management policy and practices
BSBEBUS612A	Develop and implement e-work policy and guidelines
BSBEBUS613A	Develop online customer service strategies
BSBEBUS614A	Build online customer loyalty
BSBEBUS615A	Use online systems to support managerial decision-making
BSBEBUS616A	Plan an e-business supply chain

INTERNATIONAL SERVICES FIELD

INTERNATIONAL TRADE / BUSINESS

Certificate III

BSBINT301A	Apply knowledge of the international trade environment to complete work
BSBINT302A	Apply knowledge of legislation relevant to international trade to complete work
BSBINT303A	Organise the importing and exporting of goods
BSBINT304A	Assist in the international transfer of services
BSBINT305A	Prepare business documents for the international trade of goods
BSBINT306A	Apply knowledge of international finance and insurance to complete work requirements

Certificate IV

BSBINT401A	Research international business opportunities
BSBINT402A	Market goods and services internationally

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BSBINT403A	Research international markets
BSBINT404A	Implement international client relationship strategies
BSBINT405A	Apply knowledge of import and export international conventions, laws and finance
BSBINT406A	Promote compliance with legislation
BSBINT407A	Prepare business advice on export Free on Board Value
BSBINT408A	Prepare business advice on the taxes and duties for international trade transactions
BSBINT409A	Plan for international trade

Diploma

BSBINT501A	Profile international markets
BSBINT502A	Analyse consumer behaviour for specific international markets
BSBINT503A	Analyse data from international markets
BSBINT504A	Forecast international market and business needs
BSBINT505A	Build international client relationships
BSBINT506A	Build international business networks
BSBINT507A	Report on finances related to international business
BSBINT508A	Promote products and services to international markets

IMPORTED UNITS FOR THE E-BUSINESS BLENDED QUALIFICATIONS

ICAITAD043A	Develop and present a feasibility report
ICAITAD051B	Develop client user interface
ICAITAD052B	Design IT security framework
ICAITAD053B	Design system security and controls
ICAITAD054B	Validate quality and completeness of design
ICAITAD138A	Determine acceptable solution providers for e-business projects
ICAITAD141A	Design dynamic websites to meet technical requirements
ICAITAD146A	Develop web site information architecture
ICAITAD147A	Determine that data base functionality and scalability suits business requirements
ICAITAD148A	Identify new technology models for e-business
ICAITAD149A	Implement quality assurance process for e-commerce solutions
ICAITAD150A	Evaluate vendor products and equipment
ICAITAD151A	Gather data to identify business requirements
ICAITAD152A	Implement risk management processes
ICAITAD156A	Review and plan for risk to e-commerce solution providers
ICAITAD157A	Develop technical requirements for an e-commerce solution
ICAITAD158A	Translate the business needs into technical requirements
ICAITB059A	Develop detailed technical design
ICAITB073B	Pilot the developed system
ICAITB074B	Monitor the system pilot
ICAITD208A	Writing for the World Wide Web
ICAITS108B	Complete database backup and recovery
ICAITS116A	Undertake capacity planning
ICAITS119B	Monitor and administer system security
ICAITS191A	Maintain web site performance
ICAITS194A	Ensure basic web site security
ICAITS199A	Manage E-commerce websites
ICAITS200A	Monitor traffic and compile specified site traffic reports
ICAITS202A	Ensure privacy for users
ICAITS203A	Choose a web hosting service
ICAITSP039B	Match the IT needs with the strategic direction of the enterprise
ICAITSP040A	Manage and review contracts
ICAITT183A	Confirm accessibility of web site design
ICAITT184A	Ensure site usability
ICAITTW214A	Maintain ethical conduct
ICAITU127B	Support system software
ICAITU205A	Select and employ software and hardware multimedia tools
CUFIMA01A	Produce and manipulate digital images
CUFIMA04A	Create 3D digital animation
CUFIMA05A	Create 3D digital models and images
CUFMEM06A	Design a multimedia product
CUFMEM07A	Apply principles of visual design and communication to the development of a multimedia product
CUFMEM08A	Apply principles of instructional design to a multimedia product
CUFMEM10A	Design and create a multimedia interface
CUFMEM11A	Design the navigation for a multimedia product
CULLB412A	Undertake cataloguing activities

UNITS IMPORTED FROM OTHER TRAINING PACKAGES (SEE NOTE AT TOP OF TABLE ON PAGE 14)

Diversity

THHGLE09B	Manage workplace diversity

Employment Services

CHCAD1A	Advocate for clients
CHCCS1A	Deliver and monitor service to clients
CHCCS401A	Facilitate cooperative behaviour
CHCES302A	Work with government in a purchaser provider relationship
CHCES304A	Deliver recruitment services
CHCES305A	Monitor New Apprenticeships support services

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CHCES303A	Work within a legal and ethical framework
CHCES402A	Deliver New Apprenticeship support services
CHCES301A	Work in Employment Services area
CHCCAR501A	Provide careers guidance
CHCES303A	Use labour market information
CHCCM2A	Establish and monitor a case plan
CHCES406A	Provide job search support
CHCCM4A	Promote high quality case management
CHCORG29A	Provide coaching and motivation
CHCCS2A	Develop and deliver client service
CHCCD12B	Apply a community development framework
CHCCS3B	Coordinate the provision of services and programs
CHCCS402A	Respond holistically to client issues
CHCCS5A	Identify and address specific client issues
CHCCS405A	Work effectively with culturally diverse clients and co-workers
CHCES405A	Monitor service performance in a purchaser provider relationship with government
CHCDIS18A	Support people with disabilities as workers
CHCCS6A	Assess and deliver services to clients with complex needs
CHCDIS9B	Maximise participation in work by people with disabilities
CHCDIS8A	Work with clients intensively
CHCES502A	Research and report on labour market information
CHCES401A	Analyse and apply labour market information
CHCCS4A	Manage the delivery of quality client service
CHCES403A	Develop and monitor employment plans
CHCDIS11A	Coordinate disability work
CHCES404A	Promote clients to employers
CHCES501A	Manage service delivery in a purchaser-provider relationship with government
PSPGOV603A	Develop a tender submission

Purchasing

LGACOM409A	Prepare tender documents
PSPPROC602A	Direct management of contracts
PSPPROC702A	Establish the procurement context

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Structure of BSB01 Volumes

VOLUME 1	VOLUME 2A	VOLUME 2B	VOLUME 3	VOLUME 4A	VOLUME 4B	VOLUME 4C
Introduction Qualification Guide Assessment Guidelines	**Units of Competency** **Field:** BUSINESS ADMINISTRATION SERVICES **Domain:** Legal Services Medical Administration Purchasing	**Units of Competency** **Field:** BUSINESS ADMINISTRATION SERVICES **Domain:** Specialist Administration	**Units of Competency** **Field:** BUSINESS INFORMATION SERVICES **Domain:** Recordkeeping	**Units of Competency** **Field:** BUSINESS MANAGEMENT SERVICES **Domain:** Small Business Management Governance (Indigenous Organisations) Franchising Quality Auditing	**Units of Competency** **Field:** BUSINESS MANAGEMENT SERVICES **Domain:** Project Management	**Units of Competency** **Field:** BUSINESS MANAGEMENT SERVICES **Domain:** Strategic Management Frontline Management
Units of Competency **Field:** COMMON BUSINESS **Domain:** Common	**VOLUME 4D** **Units of Competency** **Field:** BUSINESS MANAGEMENT SERVICES **Domain:** Occupational Health & Safety Compliance Management	**VOLUME 5A** **Units of Competency** **Field:** HUMAN RESOURCE MANAGEMENT **Domain:** Human Resources Employment Services Unionism	**VOLUME 5B** **Units of Competency** **Field:** HUMAN RESOURCE MANAGEMENT **Domain:** Assessment and Workplace Training *[This domain will be replaced after the Training And Assessment Training Package is endorsed]*	**VOLUME 6** **Units of Competency** **Field:** E-BUSINESS **Domain:** E-Business	**VOLUME 7** **Units of Competency** **Field:** BUSINESS DEVELOPMENT **Domain:** Advertising Sales Marketing	**VOLUME 8** **Units of Competency** **Field:** INTERNATIONAL SERVICES **Domain:** International Trade International Business

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Competency Standards

The broad concept of industry competency concerns the ability to perform particular tasks and duties to the standard of performance expected in the workplace. Competency requires the application of specified skills, knowledge and attitudes relevant to effective participation in an industry, industry sector or enterprise.

Competency covers all aspects of workplace performance and involves performing individual tasks; managing a range of different tasks; responding to contingencies or breakdowns; and, dealing with the responsibilities of the workplace, including working with others. Workplace competency requires the ability to apply relevant skills, knowledge and attitudes consistently over time and in the required workplace situations and environments. In line with this concept of competency Training Packages focus on what is expected of a competent individual in the workplace as an outcome of learning, rather than focussing on the learning process itself.

Competency standards in industry Training Packages are determined by industry to meet identified industry skill needs. Competency standards are made up of a number of units of competency each of which describes a key function or role in a particular job function or occupation. Each unit of competency within a Training Package is linked to one or more AQF qualifications.

Contextualisation of Units of Competency by RTOs

Registered Training Organisation (RTOs) may contextualise units of competency to reflect local outcomes required. Contextualisation could involve additions or amendments to the unit of competency to suit particular delivery methods, learner profiles, specific enterprise equipment requirements, or to otherwise meet local needs. However, the integrity of the overall intended outcome of the unit of competency must be maintained.

Any contextualisation of units of competency in this endorsed Training Package must be within the bounds of the following advice. In contextualising units of competency, RTOs:

- must not remove or add to the number and content of elements and performance criteria
- may add specific industry terminology to performance criteria where this does not distort or narrow the competency outcomes
- may make amendments and additions to the range statement as long as such changes do not diminish the breadth of application of the competency and reduce its portability, and/or
- may add detail to the evidence guide in areas such as the critical aspects of evidence or resources and infrastructure required where these expand the breadth of the competency but do not limit its use.

Components of Units of Competency

The components of units of competency are summarised below, in the order in which they appear in each unit of competency.

Unit Title

The unit title is a succinct statement of the outcome of the specific unit of competency. Each unit of competency title is unique, both within and across Training Packages.

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Unit Descriptor

The unit descriptor broadly communicates the purpose of the unit of competency and the skill area it addresses. Where units of competency have been contextualised from units of competency from other endorsed Training Packages, summary information about the relationship of the units of competency is provided in the unit descriptor.

Competency Field (Optional)

The competency field either reflects the way the units of competency are categorised in the Training Package or denotes the industry sector, specialisation or function. It is an optional component of the unit of competency.

Application of the Competency

The application of the competency fleshes out the scope, purpose and operation of the unit of competency in different contexts, for example its application in the workplace.

Elements of Competency

The elements of competency are the basic building blocks of the unit of competency. They describe in terms of outcomes the significant functions and tasks that make up the competency.

Performance Criteria

The performance criteria specify the required performance in relevant tasks, roles, skills and in the applied knowledge that enables competent performance.

Range Statement

The range statement provides a context for the unit of competency, describing any variables that may apply in workplace situations.

Evidence Guide

The evidence guide is critical in assessment as it provides information to the Registered Training Organisation (RTO) and assessor about how the described competency may be demonstrated. The evidence guide does this by providing a range of evidence for the assessor to make determinations, and by providing the assessment context. The evidence guide describes:

- conditions under which competency must be assessed including variables such as the assessment environment or necessary equipment
- relationships with the assessment of any other units of competency
- suitable methodologies for conducting assessment including the potential for workplace simulation
- resource implications, for example access to particular equipment, infrastructure or situations
- how consistency in performance can be assessed over time, various contexts and with a range of evidence, and
- the required underpinning knowledge and skills

Key Competencies

All Training Packages require the integration of Key Competencies either in each unit of competency, or across a qualification, depending on industry needs and preferences.

The Key Competencies were first defined in 1992 in the project report, *Putting General Education to Work: The Key Competencies Report (Mayer Committee 1992).* The skills and

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knowledge they describe are essential for effective workplace participation and involve the sorts of capabilities commonly used by employers as selection criteria. They underpin the ability of employees to adapt to technological, organisational, societal and functional change.

The Key Competencies are generic, in that they apply to work in general, rather than to particular occupations or industries. They focus on the application of knowledge and skills in an integrated way in workplace situations. The seven Key Competencies are:

1 Collecting, analysing and organising information
The capacity to locate, sift and sort information in order to select what is required and to present it in a useful way, and evaluate both the information itself and the sources and methods used to collect it.

2 Communicating ideas and information
The capacity to communicate effectively with others using the range of spoken, written, graphic and other non-verbal means of expression.

3 Planning and organising activities
The capacity to plan and organise one's own work activities, including making good use of time and resources, sorting out priorities and monitoring one's performance.

4 Working with others in teams
The capacity to interact effectively with other people both on a one-to-one basis and in groups, including understanding and responding to the needs of a client and working effectively as a member of a team to achieve a shared goal.

5 Solving problems
The capacity to apply problem-solving strategies in purposeful ways, both in situations where the problem and the solution are clearly evident and in situations requiring creative thinking and a creative approach to achieve a desired outcome.

6 Using mathematical ideas and techniques
The capacity to use mathematical ideas, such as number and space, and techniques such as estimation and approximation, for practical purposes.

7 Using technology
The capacity to apply technology, combining the physical and sensory skills needed to operate equipment with the understanding of scientific and technological principles needed to explore and adapt systems.

Performance Levels

There are three levels of performance defined within the Key Competencies. These are stand-alone levels and do not correspond to the AQF qualification levels.

- **Performance Level 1** is concerned with the level of competence needed to undertake activities efficiently with sufficient self-management to meet the explicit requirements of the activity, and to make judgements about the quality of outcomes against established criteria.

- **Performance Level 2** describes the competence needed to manage activities requiring the selection, application and integration of a number of elements, and to select from established criteria to judge quality of process and outcome.

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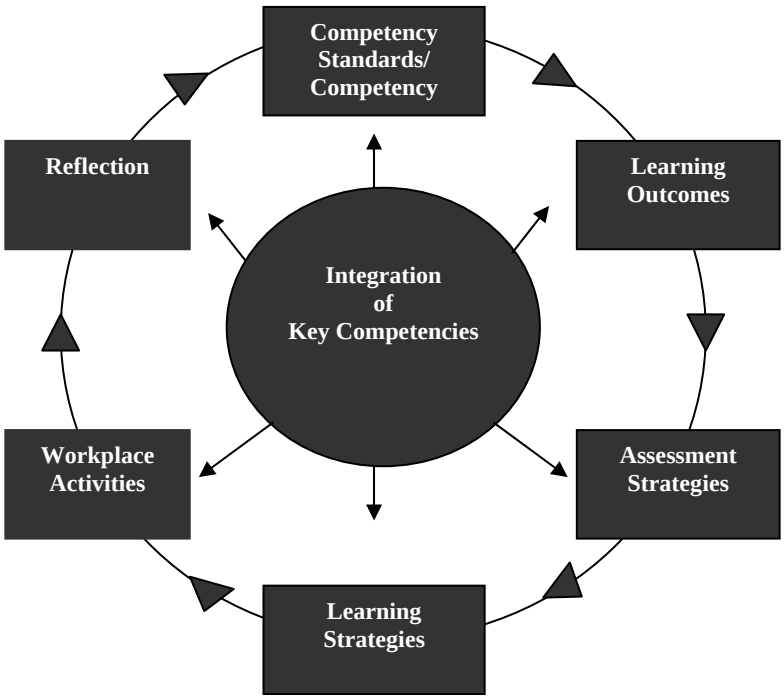
- **Performance Level 3** describes the competence needed to evaluate and reshape processes, to establish and use principles in order to determine appropriate ways of approaching activities, and to establish criteria for judging quality of process and outcome.

However, relating performance to the specific industry or workplace context may be more useful than interpreting the somewhat abstracted performance levels provided above. Where the Key Competencies are defined in the unit of competency, you will find them in a table, together with examples of their application, to help with assessment of their performance. Also, in evaluating the level of performance for the Key Competencies, consider the performance expectations at the AQF qualification level involved.

Delivery and Assessment of Key Competencies

The Key Competencies are integral to workplace competency, and, as such must be explicitly considered in the design, customisation, delivery and assessment of vocational education and training programs as represented diagrammatically below.



BSB01 Business Services Training Package

OHS
Competency Standards

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BSBCMN421A Assist with compliance with OHS and other relevant laws

Unit Descriptor

This unit specifies the outcomes required to apply an understanding of the legal and regulatory framework of OHS in order to provide advice regarding the OHS legislative responsibilities of an OHS practitioner, company director, manager, supervisor and employee.

Competency Field

Common business

Domain

Occupational health and safety

Application of the Competency

This unit addresses the actions necessary to ensure OHS legal compliance as part of a systematic approach to managing OHS. It includes identification of common law duty of care, appropriate legislation and regulations and the necessary actions to ensure compliance in the workplace. The unit applies equally to a small, medium and/or large organisation, as well as a microbusiness.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Determine the legal framework of OHS in the workplace	1.1 *Current legislation and related documentation relevant to OHS* and the organisation's operations are sought 1.2 Knowledge of the relationship between OHS acts, OHS regulations, codes of practice, associated standards and guidance material is used to determine legal requirements in the workplace 1.3 *Responsibilities and requirements* under legislation are identified and confirmed as relevant 1.4 Responsibilities and requirements are clarified and advice from *legal advisors* is sought where necessary
2. Provide advice on OHS compliance	2.1 Advice about the specific legal responsibilities of employers including duty of care and how it is codified in relevant OHS legislation is provided to *appropriate personnel* 2.2 Advice about administration of *enforcement processes and instruments* including penalties that apply to organisations prosecuted under relevant OHS legislation is provided to appropriate personnel

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	2.3	Advice is provided to appropriate personnel on how negligence is determined at statutory and common law
3. Comply with legal requirements	3.1	Action is taken to ensure that the workplace, including systems of work and work organisation, is appraised against and complies with relevant legislation
	3.2	Training needs of *those with OHS responsibilities* are identified and training is provided as required according to legal requirements
	3.3	Requirements for other training under OHS legislation are identified and training is arranged as required
	3.4	Limits of own professional expertise are recognised and legal advisors are consulted as required
4. Report incidents of non compliance	4.1	Possible breaches are raised promptly with *responsible persons*, health and safety representatives, OHS committees or other parties/agencies as required
	4.2	Advice on arrangements for incident reporting to government authorities is provided in accordance with relevant OHS legislation and organisational procedures
	4.3	Inadequacies in systematic approaches to managing OHS procedures and/or practices which may contribute to non compliance are raised in accordance with OHS procedures
5. Contribute to ongoing monitoring of compliance with OHS legislation	5.1	Compliance with OHS legislative requirements is monitored
	5.2	Compliance issues are resolved or referred in accordance with OHS policies and procedures, and relevant OHS legislation

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Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation and related documentation relevant to OHS will include:	• current Commonwealth and relevant state/territory OHS legislation, regulations, codes of practice, associated standards and guidance material • workers compensation • privacy legislation • contract law • trade practices • criminal law • common law • industrial relations law • equal employment opportunity and anti-discrimination law • Australian and international standards
Responsibilities and requirements may include legal obligations under relevant OHS legislation for the following persons:	• employers • self-employed persons • persons in control of workplaces • contractors • designers, manufacturers, importers, suppliers of plant • erectors and installers of certain plant • manufacturers, importers and suppliers of substances • employees • OHS committees • OHS representatives
Legal advisors may include:	• legal practitioners, either internal or external • government OHS inspectors
Appropriate personnel may include:	• employers • company directors • managers • supervisors • employees • OHS representatives and committees • contractors
Enforcement processes and instruments may include:	• prohibition notices • improvement notices • on-the-spot fines • provisional improvement notices

Those with OHS responsibilities may include:	• company director • manager • supervisors • OHS representatives
Responsible persons may include:	• OHS advisor • manager • supervisor • other appropriate person(s) delegated authority to act or apply rectification controls within the organisation

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competency in this standard must be able to provide evidence of the application of advice regarding the legal and regulatory framework of OHS and other relevant legislation, either in an actual workplace, simulation exercise or scenario.

Evidence gathered for demonstration of competence will involve products developed for provision of advice on OHS legal compliance issues, evidence of how these products were developed and evidence of use of these products.

Specific Evidence Requirements

Required knowledge and understanding include:	• State/Territory/Commonwealth OHS legislation (Acts, Regulations, Codes of Practice and guidance material) including prescriptive and performance approaches and links to industrial relations, equal employment opportunity, workers compensation and rehabilitation • obligations and rights under relevant OHS legislation and common law as it applies to employers, employees, contractors, third parties, occupiers, installers, designers, manufacturers, importers, suppliers, etc • structure and forms of legislation including regulations, codes of practice, associated standards and guidance material • legislation as it applies to OHS Representatives, OHS committees and OHS inspectors • requirements for reporting under OHS and other relevant legislation including obligations for notification and reporting of incidents • difference between common law and statutory law

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- concept of common law duty of care
- difference between prescriptive and performance based legislation
- ways of obtaining evidence of compliance with OHS legislation
- understanding of systematic approaches to managing OHS
- understanding of professional liability in relation to giving advice

Required skills and attributes include:

- ability to prepare reports for a range of target groups including OHS committee, OHS representatives, managers, supervisors
- ability to communicate effectively with personnel at all levels of organisation, and legal and OHS specialists
- ability to conduct effective formal and informal meetings
- ability to analyse relevant OHS information and data, and make observations of workplace tasks and interactions between people, their activities, equipment, environment and systems in order to meet requirements of OHS legislation

Key Competencies or Generic Skills relevant to this unit include:

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks.

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (2)	• communicating with workgroup(s) and relevant organisational personnel, specialists, managers and supervisors • preparing and presenting effective reports for target audiences
Collecting, analysing and organising information (2)	• gathering and analysing information and data from different sources to determine OHS legislative requirements • collecting and analysing information and data with reference to OHS legal obligations for workplace compliance
Planning and organising activities (2)	• planning and organising processes for OHS information and data collection • planning own activities

Working in a team (2)	• working with those in the workplace to ensure OHS compliance in the workplace
Using mathematical ideas and techniques (1)	• analysing OHS information and data relevant to appropriate OHS legislation
Solving problems (2)	• contributing strategies to address identified OHS needs • working with affected employees
Using technology (1)	• using software systems to extract, analyse and report on required information to ensure effective OHS compliance • using software systems for recording and filing documentation to ensure OHS compliance
Innovation skills (1)	• applying learning about OHS to enable compliance
Products that could be used as evidence include:	• interpretation of specialist advice sought and obtained • written action plans • documents used to inform and report to others in the organisation • emails, letters, reports and other records of processes undertaken to ensure OHS compliance • case studies, simulations, scenarios, role plays
Processes that could be used as evidence include:	• how advice was provided to the workplace • how currency of own knowledge and skills has been maintained and used to provide advice to others
Resource implications for assessment include:	• access to relevant legislation, codes of practice, standards and guidance material • access to other appropriate workplace documentation • reports from other parties consulted in ensuring OHS compliance
Validity and sufficiency of evidence requires:	• that the assessment task(s) must be of sufficient scope and depth and across an appropriate time frame to address a range of conditions likely to be encountered when ensuring compliance with OHS legislation • that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment to ensure consistency of performance

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- while some access to an actual workplace is required, part of the assessment may be through simulated project based activity, scenarios, case studies, role plays or actual activities associated with a systems approach to managing OHS

Integrated competency assessment means:

- that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant OHS units such as BSBOHS401A Contribute to implementation of a systematic approach to managing OHS

BSBOHS401A Contribute to the implementation of a systematic approach to managing OHS

Unit Descriptor

This unit specifies the outcomes required to effectively contribute to the application of a systematic approach to managing OHS to ensure that the workplace is, as far as practicable, safe and without risks to the health of employees and others.

Competency Field

Business management services

Domain

Occupational health and safety

Application of the Competency

This unit addresses the actions necessary to systematically manage OHS. It includes contributing to the implementation of developed strategies, systems and plans, as well as recognising the need for expert advice.

The unit may apply in a work unit of a large organisation or in a small to medium enterprise.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Contribute to the implementation of information and data systems	1.1 *Requirements* for *record keeping* are identified and addressed 1.2 *Sources of OHS information and data* are identified, accessed and evaluated for application in the workplace 1.3 Actions are taken to ensure that records are accurately completed, collected and stored 1.4 Information and data is provided to managers and stakeholders in a readily understood format
2. Contribute to the implementation of OHS strategies, systems and plans	2.1 OHS priorities are determined in consultation with appropriate managers and in line with other *consultative arrangements* in the workplace 2.2 *OHS action plans* are developed taking account of priorities 2.3 OHS training needs are identified and documented 2.4 Action plans are monitored for achievement, and updated as required 2.5 Input is sought from *OHS specialists* and *technical advisors* if required

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3. Support integration of OHS within the overall management approach	3.1 *Other functional areas* that impact on OHS are identified 3.2 Strategies for addressing these impacts are implemented
4. Identify OHS implications of proposed changes to the workplace and provide advice to control risks	4.1 *Proposed changes to the workplace* are evaluated for OHS implications 4.2 Resulting hazards are identified and potential risks assessed 4.3 Appropriate advice to control risks is provided and actioned as appropriate
5. Identify implications of all sources of change to managing OHS and provide advice regarding those changes	5.1 Changes to relevant legislation are identified and evaluated for implications for managing OHS 5.2 Changes to relevant standards or industry practice are identified and evaluated for implications for managing OHS 5.3 Sources of information and data are monitored for impact on hazards, risks and the management of OHS 5.4 Appropriate advice is provided to address impact of change
6. Evaluate effectiveness of the approach to managing OHS	6.1 Sources of external and internal OHS information and data are accessed as part of evaluation 6.2 The need for any external input to evaluation is identified and actioned as appropriate 6.3 *Stakeholders* are consulted for input to the evaluation 6.4 Areas for improvement are identified, documented and actioned

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects, which require elaboration, are identified by the use of italics in the Performance Criteria.

Requirements for record keeping may be defined in:	• OHS legislation and regulations governing reporting of incidents and maintenance of records related to specific hazards, including chemical registers and material safety data sheets (MSDSs) • privacy legislation • organisational procedures
Sources of OHS information and data may include:	• OHS and other relevant legislation • employees • OHS specialists

	• consultants • government departments/agencies including OHS authorities and organisations such as the National Occupational Health and Safety Commission (NOHSC) • newspapers and journals, trade/industry publications • internet sites • industry networks and associations • technical data • manufacturers' manuals and specifications
Consultative arrangements may include:	• OHS and other consultative and planning committees • health and safety and other employee representatives • employee and supervisor involvement in OHS activities, such as inspections and audits • procedures for reporting hazards, and raising and addressing OHS issues • employee and workgroup meetings
OHS action plans refer to:	• documented plans developed within the workplace to implement OHS management, which include allocated responsibilities and time frames • OHS performance indicators for the organisation or enterprise
OHS specialists may be internal or external and include:	• ergonomists • occupational hygienists • health professionals • injury management advisors
Technical advisors may include:	• engineers (such as design, acoustic, safety, mechanical and civil) • legal practitioners • workplace trainers and assessors • maintenance and tradespeople
Other functional areas refer to:	• parts of the organisation or grouped responsibilities: - human resources, personnel management/industrial relations (IR) - purchasing procurement and contracting - logistics - engineering and maintenance - information, data and records management - finance and auditing

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- environmental management
- quality management

Proposed changes to the workplace may include:

- plant and equipment purchases
- material purchases
- changes to work processes and systems
- changes to work environment
- changes to work practices and conditions
- changes to management practices
- organisational restructure
- introduction of contracting arrangements or other changes to work organisation
- introduction of new and emerging technology
- other labour market changes

Stakeholders may include:

- managers
- supervisors
- health and safety and other employee representatives
- OHS committees
- employees
- the community

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence of a contribution to the implementation of systematic approaches to managing OHS, either in an actual workplace, simulation exercise or scenario.

Evidence gathered for demonstration of competence will involve products developed for implementing these OHS processes, evidence of how these products were developed and evidence of use of the products.

Specific Evidence Requirements

Required knowledge and understanding and required skills and attributes

These are detailed in the Certificate IV in Occupational Health and Safety knowledge and skills matrix.

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks.

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (2)	• communicating with workgroup and relevant organisational personnel, specialists and managers • preparing and presenting effective reports
Collecting, analysing and organising information (2)	• gathering and analysing information and data from different sources to determine OHS needs
Planning and organising activities (2)	• planning and arranging a systematic approach to managing OHS
Working in a team (2)	• working with workgroup and organisational personnel involved in OHS management
Using mathematical ideas and techniques (1)	• applying numerical skills to evaluate trends
Solving problems (2)	• contributing strategies to address identified OHS needs • working with affected employees
Using technology (1)	• using software systems to extract, analyse and report on required information for effectively managing OHS in particular areas • using software systems for recording and filing documentation involved in managing OHS
Innovation skills (1)	• identifying improvements to OHS • applying learning about OHS processes to future operations

Products that could be used as evidence include:

- written action plans
- specialist advice sought and obtained
- documents used to inform and report to others in the organisation
- emails, letters, reports and other records of processes undertaken to manage OHS in particular areas

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	• case studies, simulations, scenarios, role plays
Processes that could be used as evidence include:	• how OHS has been implemented in particular areas – specifically how required programs and processes were identified, supported/conducted, monitored, evaluated and recorded • how OHS was integrated with other functions within the organisation • how currency of own knowledge and skills has been maintained and used to provide advice to others • how the review and evaluation was undertaken • how consultation was undertaken within the organisation
Resource implications for assessment include:	• access to workplace documentation • reports from other parties consulted in managing OHS in particular areas • access to relevant legislation, standards and guidelines
Validity and sufficiency of evidence requires:	• that the assessment task(s) must be of sufficient scope and depth and across an appropriate time frame to address a range of conditions likely to be encountered when managing OHS within particular areas • that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • while some access to an actual workplace is required, part of the assessment may be through simulated project based activity, scenarios, case studies, role plays or actual activities associated with the management of OHS
Integrated competency assessment means:	• that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant OHS units. It is recommended that competency is demonstrated in BSBOHS403A Identify hazards and assess OHS risks, and BSBOHS404A Contribute to the implementation of strategies to control OHS risk, prior to assessment in this unit

BSBOHS402A Contribute to the implementation of the OHS consultation process

Unit Descriptor

This unit specifies the outcomes required to effectively contribute to the promotion of consultative arrangements in the workplace by communicating, influencing and consulting as part of a systematic approach to managing OHS.

Competency Field

Business management services

Domain

Occupational health and safety

Application of the Competency

This unit addresses the formal and informal processes of ensuring people in the organisation are informed about OHS and have opportunities to effectively participate in OHS processes.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Contribute to procedures as individuals or as part of a group to raise OHS issues or request information and data	1.1 *Strategies and tools* for individuals or groups to raise OHS issues or request information and data are identified 1.2 Procedures for individuals and groups to raise OHS issues or request information and data are implemented and communicated to *stakeholders* and *interested parties* 1.3 *Barriers* to individuals or groups seeking OHS information and data or raising issues are identified 1.4 Recommendations are made to address any identified barriers
2. Contribute to procedures for communicating OHS information and data	2.1 Needs for *OHS information and data*, communication and consultation, including relevant *legislative requirements*, are identified with stakeholders 2.2 Information and data about OHS is provided to key personnel on a regular basis, in a readily accessible manner and appropriate to the target group 2.3 Formal and informal *communication processes* are used to provide information and data about OHS 2.4 Any barriers to individuals or groups gaining information and data about OHS are identified 2.5 Recommendations are made to address any identified barriers
3. Communicate OHS information and data and advice effectively to	3.1 Timely and appropriate OHS information and data and advice are provided to stakeholder groups and individuals

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influence management decision making and action	3.2 OHS-related contributions in the form of ideas, information and solutions are made to influence management decision making and action
	3.3 Awareness of the organisation's cultural and industrial environment is used when dealing with OHS issues
4. Contribute to maintaining arrangements	4.1 Support and advice are provided to those involved in *OHS consultative arrangements*
	4.2 The OHS issue resolution process is supported to facilitate timely and equitable resolution of OHS issues
	4.3 OHS consultative processes are facilitated to meet legislative and workplace requirements
	4.4 The effectiveness of OHS consultation and participative arrangements is monitored

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Strategies and tools may include:

- OHS committees
- meetings with health and safety and employee representatives
- employee meetings
- input to safety audits, hazard identification and risk assessment processes
- hazard alerts
- surveys, checklists
- tool box meetings
- intranet or email systems
- suggestion boxes and processes
- informal discussions with team members

Stakeholders may include:

- managers
- supervisors
- health and safety and other employee representatives
- OHS committees
- employees

Interested parties may include:	• contractors • visitors • clients • community
Barriers may include:	• language • literacy and numeracy • special needs of employees • shift work and rostering arrangements • contractual arrangements • timing of information provision • workplace organisational structures (e.g. geographic, hierarchical) • workplace culture related to OHS
Information and data about OHS may include	• OHS legislation, codes of practice and guidelines • OHS consultation and participation processes • rights and responsibilities • hazards that exist in the workplace • risk assessments • risk control strategies • workplace OHS policies and procedures • safe work procedures • access to training information and data • manufacturers' manuals and specifications
Legislative requirements may include:	• OHS legislation, regulations and codes of practice • workplace equity, diversity and privacy legislation • freedom of information (FOI) legislation
Communication processes may include:	• group and individual meetings • interviews • noticeboards • signs, posters and brochures • emails, letters, minutes, memos, reports • photographs, maps and plans • audio-visual media e.g. video • newsletters

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OHS consultative arrangements may include:	• OHS and other consultative and planning committees • health and safety representatives and other employee representatives • employee and supervisor involvement in OHS activities such as inspections and audits • procedures for reporting hazards, and raising and addressing OHS issues • employee and workgroup meetings

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence of a contribution to the implementation of the OHS consultation system, either in an actual workplace, simulation exercise or scenario.

Evidence gathered for demonstration of competence will involve products developed for implementing these OHS processes, evidence of how these products were developed and evidence of use of the products.

Specific Evidence Requirements

Required knowledge and understanding and required skills and attributes

These are detailed in the Certificate IV in Occupational Health and Safety knowledge and skills matrix.

Key competencies or generic skills relevant to this unit	The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit: Level (1) represents the competence to undertake tasks effectively Level (2) represents the competence to manage tasks Level (3) represents the competence to use concepts for evaluating and reshaping tasks. The bulleted points provide examples of how the key competencies can be applied for this unit.
Communicating ideas and information (2)	• communicating with workgroup and relevant organisational personnel, specialists and managers • preparing and presenting OHS information and data using a range of methods and media
Collecting, analysing and organising information (2)	• gathering and analysing information and data from different sources to determine OHS communication and consultation needs

Planning and organising activities (2)	• planning and arranging implementation of OHS communication and consultation programs
Working in a team (2)	• working with workgroup/other personnel involved in OHS information and consultation provision
Using mathematical ideas and techniques (1)	• applying basic numeracy skills to information and data
Solving problems (2)	• facilitating communication and consultation processes to overcome barriers
Using technology (1)	• using technology to make basic, effective presentations and other communication products
Innovation skills (1)	• identifying improvements to consultation processes • applying learning about OHS consultation to future situations
Products that could be used as evidence include:	• documents used to inform and report to others • emails, letters, reports and other records of processes undertaken to implement information/consultation • meetings, presentations, case studies, role plays, scenarios • manuals, booklets, brochures, newsletters
Processes that could be used as evidence include:	• how provision of OHS information and data and consultation program has been implemented and, specifically, how opportunities were made available for individuals and groups to raise OHS issues • how information and data was provided in a useable medium for team members • how barriers to communication and consultation were overcome • how information, data and advice was provided and used to inform decision making within the organisation
Resource implications for assessment include:	• access to workplace documentation and personnel • reports from other parties involved in the OHS consultation and communication process • access to relevant legislation/standards/guidelines
Validity and sufficiency of evidence requires:	• at least three examples of communication activities undertaken by the candidate to suit a specific operational context • that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment

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- while there should be some access to an actual workplace, part of the assessment may be through simulated project based activity, scenarios, case studies, role plays or actual activities associated with the implementation of OHS information and data and consultation programs

Integrated competency assessment means:

- that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant OHS units, particularly BSBOHS401A Contribute to the implementation of a systematic approach to managing OHS

BSBOHS403A Identify hazards and assess OHS risks

Unit Descriptor

This unit specifies the outcomes required to identify hazards and assess OHS risks in the workplace.

Competency Field

Business management services

Domain

Occupational health and safety

Application of the Competency

This unit addresses the knowledge, processes and techniques necessary to identify hazards and assess risks using developed processes and tools. The unit also introduces basic incident analysis as an important skill underlying incident investigation, which is addressed in greater complexity in BSBOHS508A Participate in the investigation of incidents.

This unit introduces the concept of risk assessment but it should be noted that more advanced units divide risk assessment into risk analysis and risk evaluation.

This unit is a companion unit to BSBOHS404A Contribute to the implementation of strategies to control OHS risk, and they will usually be co-presented and assessed together.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Investigate incidents for prevention	1.1 *Appropriate techniques* to investigate *incidents* are selected and used
	1.2 *Actions and events* leading up to an incident, during the incident and through the post incident management phase are constructed
	1.3 Incident is analysed to identify the *hazard*
	1.4 Incident is analysed to identify intervention points to prevent re-occurrence
2. Access existing sources of information and data to identify hazards	2.1 *Workplace sources of information and data* are reviewed to access information and data and assist in identifying hazards
	2.2 *External sources of information and data* are accessed as required
	2.3 Input is sought from *stakeholders*, *key personnel* and *OHS specialists*
3. Conduct hazard identification	3.1 Formal and informal *techniques/tools* are sourced to identify hazards
	3.2 A suitable technique/tool is selected and modified as appropriate to identify hazards

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	3.3 Hazard identification technique/tool(s) are reviewed in consultation with workers in the area, and OHS specialists if required, to ensure it is suitably comprehensive
	3.4 Technique/tool(s) and other appropriate *hazard identification procedures* are utilised to identify hazards
	3.5 Employees and their representatives have an opportunity to participate in workplace hazard identification
4. Assess risk	4.1 A *risk assessment tool* is selected and used to identify key factors contributing to *risk*
	4.2 Workplace sources of information and data are applied to evaluate the effectiveness of risk controls
	4.3 Risks are prioritised considering the severity and likelihood of the consequences
	4.4 Stakeholders and key personnel are involved in risk assessment
	4.5 The method of risk assessment is documented
5. Participate in implementation process	5.1 A *hazard register* is maintained relevant to the workplace
	5.2 The *level of authority* within the organisation to address the risk(s) is identified
	5.3 Outcomes of hazard identification and risk assessments are documented and communicated to key personnel and stakeholders

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Appropriate techniques may include:	• interviews • simulations • examination of relevant information and data • inspections • timeline of actions and events • use of accident models
An incident is:	• an event resulting in or having a potential for injury, ill health, damage or loss

Actions and events:	• include all actions and events that may have contributed to the occurrence or severity of the incident • may be extended back for a short time or up to several years to identify design decisions that contributed to the incident occurring • include facts about the incident itself including such things as systems, people, tools, equipment, materials, fixtures, the time and nature of the injury, etc
A hazard is:	• a source or a situation with a potential for harm in terms of human injury or ill-health, damage to property, damage to the environment, or a combination of these
Workplace sources of information and data may include:	• hazard, incident and investigation reports • workplace inspections • incident investigations • minutes of meetings • reports • audits • material safety data sheets (MSDSs) and registers • legislation, standards, manufacturers' manuals and specifications available at the workplace
External sources of information and data may include:	• regulatory authorities (for other relevant legislation i.e. acts, regulations, codes of practice) • other Australian standards • industry bodies • employer groups • unions • OHS specialists • OHS professional bodies • websites, journals and newsletters • other manufacturers' manuals and specifications
Stakeholders:	• managers • supervisors • health and safety and other employee representatives • OHS committees • employees • the community
Key personnel may include:	• managers from other areas • people involved in OHS decision making or who are impacted by decisions

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OHS specialists may be internal or external and include:	• ergonomists • occupational hygienists • health professionals • injury management advisors
Techniques and tools may include:	• workplace processes such as 'walk throughs', surveys and inspections • interviews • hazard identification procedures based on checklists • material safety data sheets (MSDS) • body mapping • those that are: - scheduled or unscheduled - undertaken by individuals or small groups - internally or externally developed - customised to the particular industry and workplace - reviewed on an ongoing basis to ensure they allow for emerging issues
Hazard identification procedures may include:	• job and work system analysis (JSA) • reviews of: - OHS records - hazard and incident reports - investigations - registers of hazardous substances and dangerous goods - plant and equipment maintenance records • identification of employee concerns, such as through a hazard reporting system • input of managers, OHS representatives, OHS committee and others through consultative processes
Risk is:	• the chance of something occurring that will result in injury or damage • measured in terms of consequences (injury or damage) and likelihood of the consequence
Risk assessment tools may include:	• checklists, matrix nomograms and other aids that may be included in codes of practice, standards, guidelines or other relevant documentation
Hazard register includes:	• a list of hazards • their location • a range of possible scenarios or circumstances under which they may cause injury or damage • the results of the risk analysis related to the hazards

Level of authority:	• is commensurate with the actions required to address the risk

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence of hazard identification and risk analysis and evaluation activities using prepared identification and analysis and evaluation tools, either in an actual workplace, simulation exercise or scenario. Note that the combined process of analysis and evaluation of risk is also often referred to as risk assessment.

Specific Evidence Requirements

Required knowledge and understanding and required skills and attributes

These are detailed in the Certificate IV in Occupational Health and Safety knowledge and skills matrix.

Key competencies or generic skills relevant to this unit	The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit: Level (1) represents the competence to undertake tasks effectively Level (2) represents the competence to manage tasks Level (3) represents the competence to use concepts for evaluating and reshaping tasks. The bulleted points provide examples of how the key competencies can be applied for this unit.
Communicating ideas and information (2)	• communicating with workgroup and relevant organisational personnel, specialists and managers • effectively collecting information and data from employees about hazards and assessing risks • preparing and presenting effective reports
Collecting, analysing and organising information (2)	• gathering and analysing information and data from different sources to identify hazards and analyse risk • developing and using effective hazard identification and risk analysis tools, such as inspection checklists
Planning and organising activities (2)	• planning and arranging hazard identification procedures
Working in a team (2)	• working with workgroup and organisational personnel involved in hazard identification procedures and risk assessment

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Using mathematical ideas and techniques (1)	• applying basic numerical skills required to analyse the risk of specific hazards and, where applicable, assigning numerical ratings to risk assessment
Solving problems (2)	• collecting information and data, identifying hazard(s) and assessing risks, and recommending controls
Using technology (2)	• using software systems to assist in extraction, analysis and reporting of required information to identify hazards and assess risks • using word processing and other basic software for interpreting charts, flowcharts, graphs and other visual data and information for hazard identification and risk assessment • using software systems for recording and filing documentation for hazard identification and risk assessment
Innovation skills (2)	• identifying improvements to hazard identification and risk analysis and evaluation procedures • applying learning about hazard identification and risk assessment to manage future activities
Products that could be used as evidence include:	• documents used to inform and report to others in the organisation • completed checklists • emails, letters, reports and other records of processes undertaken to identify hazards and assess risks • reports of other parties such as supervisors, managers, OHS specialists
Processes that could be used as evidence include:	• how hazard identification and risk assessment procedures were implemented
Resource implications for assessment include:	• access to workplace documentation and actual workplaces • reports from other parties consulted in identifying hazards and conducting risk assessments • access to relevant legislation, standards and guidelines
Validity and sufficiency of evidence requires:	• at least three examples of hazard identification and risk assessment activities, across a range of hazards, undertaken by the candidate to suit the specific operational context • that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment

- while there should be some access to an actual workplace, part of the assessment may be through simulated project based activity, scenarios, case studies, role plays or actual implementation of hazard identification and risk assessment processes

Integrated competency assessment:

- it is strongly recommended that assessment for this unit is integrated with BSBOHS404A Contribute to the implementation of strategies to control OHS risk

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BSBOHS404A Contribute to the implementation of strategies to control OHS risk

Unit Descriptor

This unit specifies the outcomes required to contribute to the implementation of strategies to control OHS risks.

Competency Field

Business management services

Domain

Occupational health and safety

Application of the Competency

This unit addresses knowledge, processes and techniques necessary to contribute to the implementation of OHS risk controls. It is about consideration of the various interactions between people and their activities, equipment, environment and work systems when controlling OHS risks in workplaces.

This unit should be co-assessed with BSBOHS403A Identify hazards and assess OHS risks.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Develop options for risk control	1.1 *Hazard registers*, outcomes of incident investigations and risk assessments are reviewed to identify *hazards* requiring control action
	1.2 Knowledge of OHS legislation and standards is applied to develop a range of options to control specific *risks* in the workplace
	1.3 The *hierarchy of control* is applied when developing risk control options
	1.4 Input is sought from *stakeholders* and *key personnel*
	1.5 Advice is sought from *OHS specialists* and *technical advisors* where required
2. Select appropriate options(s) to control risks	2.1 Outcomes of risk assessments are reviewed to inform the process of selecting options to control risks
	2.2 Appropriate interventions when selecting risk controls are prioritised
	2.3 Potential *factors that may limit effectiveness of controls* are identified
	2.4 Workplace stakeholders are consulted and involved in selection of appropriate control options
	2.5 Recommendations for risk control are communicated to stakeholders

3. Contribute to implementation of controls	3.1 Appropriate authority and relevant resources to implement controls are sought
	3.2 *Actions required to achieve change* are identified and documented
	3.3 Workplace stakeholders are consulted and involved in implementation of change
	3.4 Advice is provided on the fitting, use, maintenance and storage of *personal protective equipment*
4. Contribute to monitoring and evaluation of effectiveness of controls	4.1 Extent of change as a consequence of new controls is monitored and evaluated in consultation with stakeholders
	4.2 Compliance with new procedures is monitored and documented
	4.3 *Workplace sources of information and data* are accessed to evaluate effectiveness of risk controls and to check for new hazards introduced as a result of controls
	4.4 Areas for further improvement are identified in consultation with stakeholders and actioned as appropriate
	4.5 An improvement plan is developed and documented

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Hazard register includes:

- a list of hazards
- their location
- a range of possible scenarios or circumstances under which they may cause injury or damage
- the results of the risk analysis related to the hazards

A hazard is:

- a source or a situation with a potential for harm in terms of human injury or ill-health, damage to property, damage to the environment, or a combination of these

Risk is:

- the chance of something occurring that will result in injury or damage
- measured in terms of consequences (injury or damage) and likelihood of the consequence

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Hierarchy of control means developing risk controls within the following priority order:	• eliminate hazards • and where this is not practicable, minimise risk by: - substitution - isolating hazard from personnel - using engineering controls - using administrative controls (e.g. procedures, training) - using personal protective equipment (PPE)
Stakeholders include:	• managers • supervisors • health and safety and other employee representatives • OHS committees • employees • the community
Key personnel include:	• managers from other areas • people involved in OHS decision making or who are impacted by decisions
OHS specialists may be internal or external and include:	• ergonomists • occupational hygienists • health professionals • injury management advisors
Technical advisors may include:	• engineers (design, acoustic, safety, mechanical, civil) • legal practitioners • workplace trainers and assessors • maintenance and tradespeople
Factors that may limit effectiveness of controls may include:	• language • shift work and rostering arrangements • literacy and numeracy • workplace organisational structures (e.g. geographic, hierarchical) • cultural diversity • training required • workplace culture related to OHS, including commitment by managers and supervisors and compliance with procedures and training
Actions required to achieve change may include:	• development of new procedures or revision of existing procedures • purchase of equipment or modification of equipment • training

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Personal protective equipment is:	• equipment designed to be worn by a person to provide protection from hazards, and may include: - head protection - face and eye protection - respiratory protection - hearing protection - hand protection - clothing and footwear
Workplace sources of information and data may include:	• hazard and incident reports • workplace inspections • incident investigations • minutes of meetings • reports • audits • material safety data sheets (MSDSs) and registers • OHS legislation • Australian standards • manufacturers' manuals and specifications

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence of a contribution to control OHS risk, either in an actual workplace, simulation exercise or scenario.

Evidence gathered for demonstration of competence will involve examples of actual situations where risk was controlled or where risk controls were recommended but the actual implementation of the controls was outside the authority of the candidate.

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Specific Evidence Requirements

Required knowledge and understanding and required skills and attributes

These are detailed in the Certificate IV in Occupational Health and Safety knowledge and skills matrix.

Key competencies or generic skills relevant to this unit	The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit: Level (1) represents the competence to undertake tasks effectively Level (2) represents the competence to manage tasks Level (3) represents the competence to use concepts for evaluating and reshaping tasks. The bulleted points provide examples of how the key competencies can be applied for this unit.
Communicating ideas and information (2)	• communicating with workgroup and organisational personnel, managers and internal and external advisors • preparing and presenting effective reports
Collecting, analysing and organising information (2)	• gathering and analysing information and data from different sources to control risks • analysing information and data from different sources to evaluate effectiveness of controls
Planning and organising activities (2)	• planning own activities related to collecting information and data, and consultation • planning activities for contribution to implementing risk controls
Working in a team (2)	• working with workgroup, organisational personnel and advisors to implement risk control procedures
Using mathematical ideas and techniques (1)	• applying basic numerical skills to risk controls and evaluation of controls
Solving problems (2)	• developing risk control options
Using technology (2)	• using software systems to extract, analyse and report on required information and data to control risks • using risk analysis and evaluation tools such as preformatted checklists, matrices and spreadsheets as part of evaluating effectiveness of risk controls • using software systems for recording and filing documentation involved in controlling risks
Innovation skills (2)	• identifying improvements to risk control procedures • applying learning about risk control to manage risk control in the future

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Products that could be used as evidence include:	• documents used to inform and report to others in the organisation • reports of other parties such as supervisors, managers, OHS specialists • actual risk controls implemented or recommended • emails, letters, reports and other records of processes undertaken to control risks
Processes that could be used as evidence include:	• consultation and planning processes undertaken as part of risk control • how risks controls were implemented
Resource implications for assessment include:	• access to actual workplace or realistic scenarios that provide case studies for development of risk control options and implementation of control strategies • access to workplace documentation and actual workplace(s) • reports from other parties consulted in developing controls for risks within OHS programs • access to relevant legislation, standards and guidelines
Validity and sufficiency of evidence requires:	• at least three examples of risk control activities undertaken by the candidate to suit the specific operational context and level of authority • that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • that while there should be some access to an actual workplace, part of the assessment may be through simulated project based activity, scenarios, case studies, role plays or actual development of risk controls
Integrated competency assessment means:	• it is strongly recommended that assessment for this unit is integrated with assessment for BSBOHS403A Identify hazards and assess OHS risks

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BSBOHS405A Contribute to the implementation of emergency procedures

Unit Descriptor

This unit specifies the outcomes required to contribute to the implementation of planning and response procedures for emergencies.

Competency Field

Business management services

Domain

Occupational health and safety

Application of the Competency

This unit addresses the knowledge, processes and techniques necessary to contribute to the implementation of procedures for responding to emergencies. The unit assumes that expert advice will be available in identifying potential emergencies and in formulating the response plans.

As the unit focuses on implementation of procedures already developed for short-term emergency responses, it is less complex than BSBOHS508 Participate in the investigation of incidents, which has a greater scope both in situations addressed and the time frame for action. Contributions to the actions to control OHS risks are covered in BSBOHS404A Contribute to the implementation of strategies to control OHS risk.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Identify potential emergencies	1.1 A knowledge of OHS *hazards* and *standards* is applied to identify causes of potential *emergencies* 1.2 Input of *stakeholders* is sought in identifying potential emergencies 1.3 Appropriate *specialist advisors* and *emergency agencies* are identified and liaised with to identify causes of potential emergencies 1.4 A *risk register* is developed to identify potential emergencies and their causes
2. Identify options for initial response	2.1 Major types of emergencies are categorised 2.2 Actions required to contain or limit potential emergencies are identified 2.3 Actions required to limit effect on personnel, property and the environment are identified 2.4 Requirements for liaison with emergency agencies are identified 2.5 Actions to be taken during emergencies are prioritised

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3. Plan initial response procedures	3.1 *Resources* available and required for immediate response are identified
	3.2 *Emergency equipment* is checked to ensure serviceability, accessibility, cleanliness and correct location
	3.3 Actions required for a number of major types of emergency are documented, taking account of standards, current industry practice, specialist advice and input by emergency agencies
	3.4 Training needs and appropriate providers are identified
4. Implement initial response procedures	4.1 Actions for initial response are documented and displayed
	4.2 Own role in emergency response is known and implemented
5. Contribute to post event activities	5.1 Other personnel in *second response phase* are identified and supported
	5.2 Contributions are made to debriefing processes
6. Emergency response is monitored and deficiencies addressed	6.1 Responses to emergencies are monitored for efficiency and timeliness in consultation with stakeholders and, as appropriate, specialist advisors and agencies
	6.2 Results of monitoring are documented and promptly and appropriately reported to managers and key personnel
	6.3 Areas for improvement in response are identified and recommendations made for improvement

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

A hazard is:	• a source or a situation with a potential for harm in terms of human or ill-health, damage to property, damage to the environment, or a combination of these
Standards may include:	• international, Australian and industry-specific standards
Emergencies may include:	• serious injury events • emergencies requiring evacuation • fires and explosions • hazardous substance and chemical spills • explosion and bomb alerts

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	• security emergencies, such as armed robberies, intruders and disturbed persons • internal emergencies, such as loss of power or water supply and structural collapse • external emergencies and natural disasters, such as flood, storm and traffic accident impacting on the organisation
Stakeholders include:	• managers • supervisors • health and safety and other employee representatives • OHS committee • employees • the community
Specialist advisors may include:	• internal or external advisors in safety, chemicals, engineering, security and emergency response
Emergency agencies may include:	• fire, police, ambulance, government departments, hazardous materials response teams (Hazmat) and OHS authorities
A risk register contains:	• list of hazards • their location • a range of possible scenarios or circumstances under which an emergency could occur, including natural disasters • the outcomes of any risk assessment or risk ranking
Resources may include:	• emergency response personnel and equipment • first aid personnel and equipment • emergency services personnel
Emergency equipment may include:	• fire extinguishers and equipment • communication equipment • evacuation alarms • evacuation equipment, especially that for disabled persons • torches • clothing items such as coloured hats and vests
Second response phase is after the emergency service(s) attend and may include:	• first aid • containment of personnel in evacuation area • support/counselling of personnel involved or affected • actions required if building cannot be re-occupied

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence of a contribution to the implementation of procedures for preparing for and responding to emergencies, either in an actual workplace, simulation exercise or scenario.

Demonstration of competence will include evidence of procedures followed in a real situation or in practice drills, and in preparing the area for the occurrence of emergency events.

Specific Evidence Requirements

Required knowledge and understanding and required skills and attributes

These are detailed in the Certificate IV in Occupational Health and Safety knowledge and skills matrix.

Key competencies or generic skills relevant to this unit	The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit: Level (1) represents the competence to undertake tasks effectively Level (2) represents the competence to manage tasks Level (3) represents the competence to use concepts for evaluating and reshaping tasks. The bulleted points provide examples of how the key competencies can be applied for this unit.
Communicating ideas and information (2)	• communicating with personnel, manager and specialists in a range of situations and under pressure • conducting basic training in organisational emergency procedures • preparing and presenting effective reports
Collecting, analysing and organising information (2)	• gathering and analysing information and data from different sources to identify possible emergencies and any deficiencies in response • analysing information and data from a number of sources to prioritise actions (during response) • organising records and other information and data relevant to emergencies
Planning and organising activities (2)	• planning own actions to ensure preparedness including conducting equipment inspections, training and liaison with appropriate personnel • prioritising actions in a range of emergency circumstances

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Working in a team (2)	• working with internal and external personnel in establishing preparedness and in the management of an emergency
Using mathematical ideas and techniques (1)	• checking equipment and understanding relevant units of measure
Solving problems (2)	• implementing preparedness activities and dealing with a range of circumstances during an emergency
Using technology (2)	• accessing organisational information and data related to emergencies or emergency equipment that may be stored electronically • using technical emergency equipment such as communication equipment
Innovation skills (2)	• identifying improvements to procedures for responding to emergencies
Products that could be used as evidence include:	• risk registers, equipment checklists and documents developed to inform and report to others in the organisation • reports and reviews made following actual emergencies or exercises occurring in the workplace • emails, letters and other records of processes undertaken to liaise with emergency services and other agencies
Processes that could be used as evidence include:	• processes and nature of preparations made for emergencies • training conducted • reports from other parties consulted in preparing for and during emergencies • observed response in simulated situations
Resource implications for assessment include:	• access to workplace documentation and actual workplaces • cooperation of other parties • access to a suitable venue for simulated situations
Validity and sufficiency of evidence requires:	• that competence should be demonstrated across both preparedness and actual or simulated emergency response • that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment

- while there should be some access to an actual workplace, part of the assessment may be through simulated project based activity, scenarios, case studies, role plays or actual preparation for and management of emergencies

Integrated competency assessment means:

- that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant OHS related units, particularly, BSBOHS403A Identify hazards and assess OHS risks, and BSBOHS404A Contribute to the implementation of strategies to control OHS risk

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BSBOHS406A Use equipment to conduct workplace monitoring

Unit Descriptor

This unit specifies the outcomes required to accurately use equipment to contribute to the monitoring of agents and/or conditions in the workplace including, but not be limited to noise, vibration, light, fibres, dusts, fumes, mists, heat and humidity, radiation, and biological agents such as insects, mites and bacteria.

Competency Field

Business management services

Domain

Occupational health and safety

Application of the Competency

This unit focuses on the knowledge, processes and techniques necessary to accurately use a range of measuring devices to contribute to the monitoring of agents and/or conditions in the workplace as an integral part of identifying hazards, assessing risk and monitoring the effectiveness of controls.

The agents and/or conditions monitored should be selected as appropriate to the workplace and affected parties. The choice of monitoring equipment used should be applicable to the agent and/or condition and also be within the resources of the workplace. This may vary with the size of the workplace and the level of risk to affected parties associated with the agent and/or condition.

As there is a broad range of possible agents and/or conditions and appropriate equipment, it is a requirement that the candidate will demonstrate competency in the use of equipment appropriate to monitoring for at least three different agents and/or conditions.

Measurement of ergonomic factors and their impact on the human body has been excluded from this unit. This unit does not extend to interpretation of results and development of control measures based on the outcomes of the monitoring, as this is addressed in BSBOHS404A Contribute to the implementation of strategies to control OHS risk.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Select measuring device(s)	1.1 *Agent and/or condition* to be measured is identified through consultation with workplace and affected parties
	1.2 *Characteristics* of agent and/or condition are identified
	1.3 Area where measurements are to be taken are *defined*

	1.4	Types of appropriate measuring equipment are identified
	1.5	Measuring equipment appropriate to the agent and/or condition, the environment, the activities being carried out and level of risk is selected
	1.6	Limits of own expertise and available equipment are recognised and expert advice and equipment sought as appropriate
2. Prepare to collect workplace information and data	2.1	Any *regulatory requirements and/or standards* that impact on the measuring process are identified
	2.2	*A sampling process* is defined
	2.3	Arrangements are made with the workplace to collect *information and data* including advising those involved in workplace activities of any requirements
	2.4	Sampling plan is defined after inspecting area and in consultation with employees and affected parties regarding the nature of the problem
	2.5	*Operability of equipment* is checked
3. Use devices to collect workplace information and data	3.1	Monitoring equipment is selected and calibrated, and appropriate scale selected
	3.2	Equipment is used and maintained correctly to accurately collect information and data
	3.3	Own OHS is addressed while collecting information and data
	3.4	Information and data is collected and readings recorded, utilising professional evaluation and advice as appropriate
	3.5	Equipment is dismantled, cleaned and parts or equipment disposed of appropriately
	3.6	Equipment is stored correctly or made ready for re-use as appropriate
4. Document and evaluate results of monitoring	4.1	Results are interpreted and evaluated against a recognised standard, and documented
	4.2	Report addresses any regulatory requirements and considers *purpose of report* and the *target audience*
	4.3	*Required information and data* is presented clearly and logically
	4.4	Results and records are retained and stored in a format that enables them to be readily retrieved in accordance with regulatory requirements and/or standards

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Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

The agent and/or condition is:

- the real or potential hazard to be monitored and may include, but not be limited to:
  - noise
  - vibration
  - light
  - radiation (ionising, non-ionising, laser)
  - fibres, dusts, particulates
  - fumes, mists, gases, vapours
  - heat and humidity
  - electricity
  - biological agents such as insects, mites and bacteria

Characteristics of the agent and/or condition may include:

- the way it behaves in the environment, including over distance and time
- how it is absorbed into the body
- how it affects specific parts of the body, such as extent of damage to tissue and/or effects such as additive, antagonistic, synergism and potentiation
- dose factors relating to concentration and time

Definition of the area where measurements are to be collected includes:

- location
- physical features of equipment, such as emitting sources
- area/space available
- tasks/activities being undertaken
- number of persons occupying area
- movements of people and equipment
- other factors that may impact on the sampling or data collection processes

Regulatory requirements and/or standards may include:

- state/territory/Commonwealth OHS legislation, regulations and codes of practice, including those relating to specific hazards
- exposure standards for atmospheric contaminants in occupational environments
- material safety data sheets (MSDSs)

	• guidance material such as guidance notes, guides, fact sheets, model regulations and technical reports that provide practical guidance and direction for hazard control • Australian and international standards, such as those produced by Standards Australia and National Occupational Health and Safety Commission (NOHSC) • biological exposure indices
A sampling process includes consideration of some or all of the following:	• size of the workforce (i.e. individual worker or group(s) of workers) • the process, substance or hazard event likely to be causing the ill health or symptoms • the type of exposure • other practical and financial considerations
Information and data collected should include:	• readouts/measurements taken • sampling method (e.g. grab, longitudinal, continuous) • locations where information and data was collected • date, time and duration of collection • specifications of equipment used • conditions such as activities and number of people present when measurements were made
Operability of equipment checks include:	• battery serviceability checks • availability of appropriate attachments, leads, filters etc • check and function tests • NATA tested and certified, with certificate of currency as appropriate
Purpose of report may include:	• legal compliance • hazard identification • risk assessment • as a basis for design of improved and/or new control measures
Target audience may include:	• OHS or environmental regulatory bodies • management • OHS committee or OHS representatives • OHS professionals • designers and engineers

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Required information and data may include:

- agent/condition being monitored and key issues associated with the agent/condition
- target audience for report
- where, when and why measurements were taken
- sampling process:
  - how measurements were taken
  - specifications of equipment used
  - locations where samples were taken
  - conditions at time of sampling, including whether the sampling period represented normal operating conditions
- table of results
- interpretation and discussion of results
- evaluation of results with reference to appropriate standards

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence of accurate use of appropriate equipment to monitor selected agents and/or conditions in the workplace, evaluate the results against a standard and document the outcomes for at least three selected hazard types. This can be achieved either in an actual workplace, simulation exercise or scenario.

Specific Evidence Requirements

Required knowledge and understanding and required skills and attributes

These are detailed in the Certificate IV in Occupational Health and Safety knowledge and skills matrix.

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks.

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (2)	• communicating with personnel in the workplace regarding sampling and measurement processes • preparing and presenting reports for target audiences
Collecting, analysing and organising information (2)	• gathering and analysing information and data in order to design the sampling and measurement processes • collecting and organising information and data from measurement equipment • analysing information and data with reference to standards and OHS legal obligations for workplace monitoring
Planning and organising activities (2)	• planning and organising processes for information and data collection • planning own activities
Working in a team (2)	• working with those in the workplace to establish the monitoring process
Using mathematical ideas and techniques (2)	• applying numerical skills and knowledge of units of measurement to check validity and interpretation of information and data • analysing workplace monitoring information and data relevant to appropriate standard(s)
Solving problems (2)	• devising appropriate sampling processes and collecting information and data
Using technology (3)	• using measurement and direct reading instruments • using word processing and other basic software for reporting results and recommendations • accessing OHS information and data such as legislative requirements and exposure standards
Innovation skills (1)	• applying learning about workplace monitoring to future monitoring activities

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Products that could be used as evidence include:	• reports prepared as a result of workplace monitoring activities • reports of other parties such as supervisors, managers, OHS specialists and those acting as expert assessors
Processes that could be used as evidence include:	• direct observation of how measurements were taken • verbal presentations of how measurements were taken and analyses made
Resource implications for assessment include:	• access to a real workplace or a simulated one with these hazards • access to appropriate equipment • access to relevant legislation, standards and guidelines • reports from other parties consulted during workplace monitoring activities
Validity and sufficiency of evidence requires:	• that competency should be demonstrated by the candidate measuring/monitoring at least three (3) different types of agents and/or conditions in the workplace • that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • that assessment must involve the actual use of equipment to undertake measurements and or monitoring tasks. This may be in an actual or simulated situation and at least some of the activities should be directly observed by the assessor • while there should be some access to an actual workplace, part of the assessment may be through simulated project based activity
Integrated competency assessment means:	• that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant OHS related units, particularly BSBOHS404A Contribute to the implementation of strategies to control OHS risk

BSBOHS501A Participate in the coordination and maintenance of a systematic approach to managing OHS

Unit Descriptor

This unit specifies the outcomes required to effectively participate in the coordination and maintenance of a systematic approach to managing occupational health and safety (OHS) in the workplace. It includes strategies, policies and procedures necessary to systematically manage OHS and its evaluation to ensure that the workplace is, as far as practicable, safe and without risks to the health of employees and others.

Competency Field

Business management services

Domain

Occupational health and safety

Application of the Competency

This unit addresses the actions necessary to participate in the coordination and maintenance of the OHS program, taking account of the responsibilities for managing OHS. It involves identifying the need for change, planning and implementing strategies, integrating OHS within other functional areas, and some evaluation of the OHS management function.

The unit may be undertaken in the context of an OHS management system (OHSMS) or other systematic approaches to managing OHS.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Contribute to the strategic planning process	1.1 Steps are taken to ensure that managers at all levels are aware of their OHS responsibilities and the role of OHS in the overall management approach 1.2 OHS needs and priorities are determined in consultation with relevant managers and other workplace *stakeholders* and *key personnel* 1.3 Recommendations are made for inclusion of OHS performance (including *positive performance indicators*) in the organisation's business plan
2. Participate in the development of an OHS plan	2.1 Potential *motivators* amongst stakeholders together with potential *barriers to the implementation of a systematic approach to managing OHS* are identified 2.2 An *OHS plan* is developed, in consultation with workplace stakeholders, based on agreed priorities and with measurable outcomes

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	2.3 *Resources* required for implementation of the OHS plan are identified
	2.4 Action plans with relevant responsibilities and time lines are developed
	2.5 Action plans are communicated to key personnel
3. Support the implementation of the systematic approach to managing OHS	3.1 Knowledge of OHS management and OHS disciplines is applied, in consultation with stakeholders, *OHS specialists* and *technical advisors*, to the development of *policies and procedures*
	3.2 Support is provided to managers to meet OHS responsibilities and for the implementation of action plans
	3.3 Strategies are developed to effectively integrate OHS within *other functional areas and management systems* that impact on the management of OHS
	3.4 OHS training needs are identified and recommendations for delivery formulated
4. Provide advice to key personnel and stakeholders	4.1 Objective advice is provided in an *ethical* and non-discriminating manner
	4.2 Situations are identified where OHS specialists may be required
5. Participate in monitoring OHS	5.1 Implications for the management of OHS and *proposed changes to the workplace* are identified in consultation with stakeholders
	5.2 Implications for the management of OHS, *external changes* and changes to available information and data are identified in consultation with stakeholders
	5.3 *Sources of workplace information and data* are accessed as part of regular monitoring of OHS
	5.4 Achievement against action plans is monitored and plans updated as appropriate
	5.5 Action is taken to update systematic approaches to managing OHS, taking into account proposed changes
6. Participate in reviewing the management of OHS	6.1 The effectiveness of systematic approaches to managing OHS is reviewed regularly
	6.2 Frequency, method and scope of review is determined in consultation with stakeholders
	6.3 Stakeholders have input to the review
	6.4 Targets for improvement in the management of OHS are identified and recommendations made for improvement

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6.5 Improvement strategies arising from the review are communicated to appropriate levels of authority through planning, documentation and implementation

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Stakeholders include:
- managers
- supervisors
- health and safety and other employee representatives
- employees
- OHS committees

Key personnel include:
- managers from other areas
- people involved in OHS decision making or who are likely to be impacted by decisions relating to OHS

Positive performance indicators are a means of:
- focusing on assessing how successfully a workplace is performing through measuring OHS processes

Motivators include:
- factors that make stakeholders likely to adopt OHS processes

A systemic approach to managing OHS involves:
- comprehensive processes that are combined in a methodical and ordered manner to minimise the risk of injury or ill health in the workplace
- processes of planning, allocation of resources, communication and consultation, hazard management, record keeping and reporting, training and competency, and review and evaluation for ongoing improvement

Barriers to implementation of a systematic approach to managing OHS may include:
- barriers to communication, such as language/literacy
- workplace culture issues, such as management commitment, supervisors' approach to compliance and acceptance of the priority of safety
- diversity of workers
- structural factors, such as multiple locations, shift work and supervisory arrangements

OHS plan:
- is a document that is usually developed annually but may be developed for a shorter or longer period and reviewed regularly, and
- has OHS performance indicators (i.e. objectives and targets that are achievable and practical) reflecting systematic approaches to managing OHS

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Resources include:	• financial requirement for implementation • personnel, including time allocation • equipment • specialised resources • access to other resources such as: - OHS publications - OHS internal sites - industry-specific information
OHS specialists may be internal or external and include:	• ergonomists • occupational hygienists • occupational health professionals • injury management advisors
Technical advisors may include:	• engineers (such as design, acoustic, safety, mechanical and civil) • legal practitioners • workplace assessors and trainers • maintenance and trades persons
Policies and procedures may include:	• policies and procedures underpinning the management of OHS • purchasing and contracting procedures • documents describing how tasks, projects, inspections, jobs and processes are to be undertaken • standard operating procedures • job/task statements • quality system documentation
Other functional areas and management systems may include:	• strategic planning • purchasing, procurement and contracting • logistics • HR, IR and personnel management including payroll • engineering and maintenance • information, data and records management • finance and auditing • environmental management • quality management
Ethical advice means that:	• the OHS practitioner provides objective advice with the prime aim of reduction of workplace injury and ill health

Proposed changes to the workplace may include:	• design of workplace • design or purchase of new plant or equipment • materials purchases • changes to work processes, work systems, work organisation, work practices and conditions • changes to management practices
External changes may include:	• changes to legislation • new information and data available on OHS
Sources of workplace information and data may include:	• hazard, incident and investigation reports • workplace inspections • minutes of meetings • reports – including those of external consultants • audits • questionnaire information and data • material safety data sheets (MSDSs) and registers

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence of participation in the coordination and maintenance of OHS and associated systematic approaches, either in an actual workplace, simulation exercise or scenario.

Evidence gathered for demonstration of competence will involve products developed for coordination of OHS, evidence of how these products were developed and evidence of use of the products.

Specific Evidence Requirements

Required knowledge and understanding and required skills and attributes

These are detailed in the Diploma in Occupational Health and Safety knowledge and skills matrix.

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Key competencies or generic skills relevant to this unit	The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit: Level (1) represents the competence to undertake tasks effectively Level (2) represents the competence to manage tasks Level (3) represents the competence to use concepts for evaluating and reshaping tasks. The bulleted points provide examples of how the key competencies can be applied for this unit.
Communicating ideas and information (3)	• communicating with organisational personnel at all levels, including OHS representatives and OHS committees, OHS specialists (internal and external) and managers • preparing and presenting effective reports for a range of target audiences
Collecting, analysing and organising information (3)	• gathering and analysing information and data from different sources to identify areas for improvement • analysing information and data to determine priorities for OHS • analysing the workplace to identify barriers and motivators for OHS
Planning and organising activities (3)	• coordinating and monitoring OHS planning process • coordinating and monitoring ongoing OHS activities • planning and organising own activities
Working in a team (3)	• working with personnel and stakeholders at all levels of the organisation • working with internal and external OHS and other advisors
Using mathematical ideas and techniques (2)	• applying numerical skills to monitor and evaluate OHS
Solving problems (3)	• developing and implementing OHS strategies with particular attention to their effectiveness
Using technology (3)	• using software systems to extract, analyse and report on required information and data to coordinate OHS • developing OHS documentation using word processing and other software for processes such as Gantt charting, flowcharts and graphs • using software systems for recording and filing documentation related to managing OHS
Innovation skills (3)	• identifying improvements to OHS management • applying learning about OHS management processes to manage OHS in the future

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Products that could be used as evidence include:	• written plans, systems, policies and procedures • specialist advice sought and obtained • documents used to inform and report to others in the organisation • emails, letters and other records of processes undertaken to manage OHS • identified improvements in OHS as a result of review and evaluation process • reports of other parties including managers and OHS advisors
Processes that could be used as evidence include:	• how OHS has been managed in the organisation or business unit
Resource implications for assessment include:	• access to workplace documentation • reports from other parties consulted in managing OHS • access to relevant legislation, standards and guidelines
Validity and sufficiency of evidence requires:	• either a single activity of a broad scope and depth or a number of smaller assessment activities undertaken by the candidate to suit specific organisational context • that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • that, while part of the assessment may be through simulated project based activity, there should be at least some part of the assessment that is conducted in a workplace
Integrated competency assessment means:	• that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant OHS related units, particularly BSBOHS502A Participate in the management of the OHS information and data systems, and BSBOHS503A Assist in the design and development of OHS participative arrangements

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BSBOHS502A Participate in the management of the OHS information and data systems

Unit Descriptor

This unit specifies the outcomes required to participate in the provision of information and performance data necessary to inform management and other stakeholders of OHS issues and to measure and evaluate the management of OHS.

Competency Field

Business management services

Domain

Occupational health and safety

Application of the Competency

This unit covers the processes to participate in the provision of technical and legal information and data necessary to ensure that management and other stakeholders are informed about OHS and the effectiveness of the management of OHS.

This involves accessing and providing OHS information; collecting, collating and analysing data; and ensuring that this information and data is distributed throughout the workplace. It also addresses the legislative requirements for reporting and notification of OHS matters.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Access sources of OHS information and data	1.1 Relevant *sources of OHS information and data* are identified, accessed and reviewed regularly 1.2 Information and data is critically evaluated to ensure its accuracy, currency and relevance 1.3 *Appropriate formats* for information and data storage and retrieval are determined
2. Assist in the application of policies and procedures for collection of workplace information, data and records	2.1 Managers and *key personnel* are informed of *legal requirements* for information and data collection and record keeping 2.2 OHS records are kept using *appropriate tools* 2.3 Workplace information and data is collected according to *established procedures* 2.4 Procedures for information and data collection, record keeping, amendments to legislation, and distribution of records are reviewed regularly to ensure their usability and relevance

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3. Assist in maintaining an information and data management system that enables retrieval and distribution of OHS information and data	3.1 Recommendations are made for storage of OHS information and data in a manner that makes it accessible to *stakeholders* and key personnel 3.2 OHS information, data and records are accurately entered, and stored *ethically* 3.3 Purposes and appropriate uses of OHS information and data are identified for meaningful outcomes 3.4 *Legislated reporting requirements* to external bodies are met accurately and within time limits 3.5 Training needs relevant to the management of the information and data system for appropriate personnel are regularly assessed and actioned as appropriate 3.6 Information and data management system is regularly evaluated to ensure its ease of use and relevance to the OHS needs of the organisation
4. Participate in the analysis of information and data to identify trends and actions for prevention	4.1 *Information and data collected* is evaluated for validity and reliability 4.2 *Analytical techniques* appropriate for evaluation of OHS performance (including *positive performance indicators*) and identification of areas for improvement are identified 4.3 Analytical techniques are applied appropriately and accurately 4.4 OHS information and data analysis processes are reviewed regularly, in consultation with stakeholders, to ensure organisational and legislative requirements
5. Communicate OHS information and results of data analysis to stakeholders and external bodies	5.1 Outcomes of information and data analysis are appropriately formatted taking account of the *target audience* 5.2 OHS information and data is disseminated to managers, key personnel and stakeholders taking account of legal and ethical requirements 5.3 OHS information and data is communicated objectively and feedback sought 5.4 Recommendations are made for improvement in prevention strategies based upon information accessed and data analysis
6. Communicate the effectiveness of OHS information and data systems through monitoring and evaluation	6.1 The effectiveness of the OHS information and data system is reviewed regularly 6.2 Frequency, method and scope of review is determined in consultation with stakeholders 6.3 Stakeholders have input to review

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6.4 Areas for improvement in the OHS information and data system are identified and recommendations made for improvement

6.5 Improvement strategies arising from the review are communicated to appropriate levels of authority through planning, documentation and implementation

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Sources of OHS information and data may include:

- external sources such as:
  - OHS legislation and codes of practice
  - Australian and industry standards
  - Australian Bureau of Statistics (ABS)
  - OHS authorities
  - unions and industry bodies
  - OHS professional bodies
  - internet, journals, magazines
  - technical information and data
  - research literature
  - manufacturers' manuals and specifications
  - National Occupational Health and Safety Commission (NOHSC)
- internal sources such as:
  - OHS policies and procedures
  - work instructions
  - job and work system analysis (JSAs)
  - risk assessments (past and present)
  - material safety data sheets MSDSs and registers
  - manufacturers' manuals
  - organisational data such as insurance records, incident investigation, enforcement notices and actions, workers compensation data, OHS performance indicators, audits etc
  - safety handbooks
  - employee information papers, brochures, notes, newsletters
  - OHS reports including, workplace inspections, hazard and incident reports, technical reports, consultations and observations

Appropriate formats may be:

- electronic or paper-based
- available through an intranet or CD-ROM
- recognised records and data management systems

Key personnel may include:	• managers from other areas • people involved in OHS decision making or who are affected by OHS decisions
Legal requirements may include:	• legislation, regulations and standards governing: - reporting of incidents - records for monitoring and exposure to specific hazards - privacy and confidentiality of personal records - workplace equity - workers compensation
Appropriate tools may be:	• electronic systems • paper-based systems • and may include: - registers - graphical representations - performance monitoring charts and checklists - handbooks
Established procedures may include:	• legislation and codes of practice • OHS management systems • relevant workers compensation processes • organisational policies and procedures including accident and incident recording system • recognised industry standards • manufacturers' recommendations, and maintenance and servicing schedules • contract and tender documentation • formal and/or informal procedures
Stakeholders may include:	• management • supervisors • employees • OHS committees • health and safety and other employee representatives
Ethical requirements for OHS records storage include:	• privacy, as appropriate • confidentiality • ensuring access to personal records, within legislative requirements • commercial in confidence information as appropriate
Legislated reporting requirements include:	• serious injury and serious incident reporting to OHS authorities

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Information and data collected may include:	• data relating to implementation of OHS plans and processes • OHS performance indicators • hazard registers • incident data including injury and disease • MSDSs and registers • risk assessments • job safety analyses • OHS policies and procedures
Analytical techniques may include:	• basic statistical tests such as means, standard deviation and percentage change
Positive performance indicators are a means of*:*	• focusing on assessing how successfully a workplace is performing through measuring OHS processes
Target audience may include:	• internal stakeholders, including the board of management, managers, OHS committees, supervisors, employees (and their families), contractors, visitors and others on site • external stakeholders, including customers, shareholders, local community (directly or via the media), representatives of special interest groups and agencies, insurance agencies, OHS regulators and other relevant statutory bodies

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this standard must be able to provide evidence of participation in the implementation of an OHS information and data system within an organisation or business unit, either in an actual workplace, simulation exercise or scenario.

Evidence gathered for demonstration of competence will involve products developed for implementation of these OHS processes, evidence of how these products were developed and evidence of use of the products.

Specific Evidence Requirements

Required knowledge and understanding and required skills and attributes

These are detailed in the Diploma in Occupational Health and Safety knowledge and skills matrix.

Key competencies or generic skills relevant to this unit	The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit: Level (1) represents the competence to undertake tasks effectively Level (2) represents the competence to manage tasks Level (3) represents the competence to use concepts for evaluating and reshaping tasks. The bulleted points provide examples of how the key competencies can be applied for this unit.
Communicating ideas and information (3)	• communicating with personnel, specialists and managers • preparing and presenting effective reports
Collecting, analysing and organising information (3)	• gathering and analysing information and data from different sources to determine OHS needs
Planning and organising activities (3)	• collecting, collating, analysing and distributing OHS information and data
Working in a team (3)	• working with internal and external personnel involved in OHS information and data
Using mathematical ideas and techniques (3)	• applying numerical and statistical skills to OHS information and data to monitor the effectiveness of the management of OHS
Solving problems (3)	• overcoming barriers to the management of OHS information and data
Using technology (3)	• using software systems to extract, analyse and report on required OHS information and data • preparing OHS reports using word processing and other software for visual presentation, such as Gantt charting, flowcharts and graphs • using software systems for recording and filing OHS information and data
Innovation skills (3)	• identifying and implementing or recommending improvements to OHS information and data systems
Products that could be used as evidence include:	• output reports from OHS information and data used to inform and report to others • emails, letters and other records of processes undertaken to implement and monitor OHS information and data

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	• OHS audit reports relevant to the OHS information and data system
Processes that could be used as evidence include:	• how OHS information and data processes have been managed
Resource implications for assessment include:	• access to workplace documentation and sample software for OHS information and data collation and analysis • reports from other parties consulted in managing OHS information and data • access to relevant legislation, standards and guidelines
Validity and sufficiency of evidence requires:	• at least three examples of OHS information and data collection, analysis and dissemination undertaken by the candidate • examples should be provided to demonstrate candidate's understanding of simple statistical processes • that, where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • that assessment may be through simulated project based activity, actual implementation and/or monitoring of OHS information and data systems or a combination
Integrated competency assessment means:	• that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant OHS related units such as BSBOHS501A Participate in the coordination and maintenance of a systematic approach to managing OHS, and BSBOHS503A Assist in the design and development of OHS participative arrangements

BSBOHS503A Assist in the design and development of OHS participative arrangements

Unit Descriptor

This unit specifies the outcomes required to assist in the design and development of effective participative arrangements as an integral part of systematic approaches to managing OHS and so providing stakeholders with real opportunities to participate in OHS processes.

Competency Field

Business management services

Domain

Occupational health and safety

Application of the Competency

This unit addresses identifying participative needs; and designing, developing and reviewing formal and informal processes to enable people to participate in OHS decision making. The unit also addresses influencing others from an OHS perspective and takes account of the responsibilities for managing OHS.

The requirements outlined in this unit to assist the design, development and review of OHS participative processes are underpinned by those in BSBOHS402A Contribute to the implementation of the OHS consultation process.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Identify the need for OHS participative arrangements	1.1 OHS legislation is reviewed to identify legal requirements for *participative arrangements* 1.2 *Factors that may impact on the design of the participative arrangements* are identified 1.3 Organisational policies and procedures are reviewed to identify requirements and opportunities for OHS consultation and communication 1.4 Effectiveness of existing workplace arrangements for OHS consultation and communication are reviewed in consultation with *stakeholders* 1.5 Information and consultation requirements for specific roles and groups are defined in consultation with stakeholders and *key personnel*
2. Assist in the design of participative arrangements	2.1 Processes for providing required OHS information and data are designed in consultation with stakeholders 2.2 Processes to enable individuals and groups to be consulted regarding workplace OHS issues and to have input to OHS decision making are designed in consultation with stakeholders

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	2.3 *Training needs* to enable effective participation are identified and documented
	2.4 Recommendations for participative arrangements are reviewed, in consultation with stakeholders, to ensure they meet legislative requirements and are realistic, practical and acceptable in the workplace
3. Assist in developing participative arrangements	3.1 Policies and procedures for participative arrangements are developed
	3.2 Key personnel in the introduction and maintenance of the participative arrangements are identified
	3.3 Strategies for the delivery of training are developed
	3.4 *Resources* necessary to introduce and maintain the participative arrangements are identified and documented
4. Participate in supporting the implementation of participative arrangements	4.1 Priorities for action are determined in consultation with stakeholders
	4.2 Action plans are developed with allocated responsibilities and time lines
	4.3 Advice and support is provided to key personnel
	4.4 Implementation is monitored, in consultation with stakeholders, to ensure that participatory arrangements are effective in providing information and data to all groups and providing opportunity for participation in OHS decision making
	4.5 Recommendations are made for adjustment to the implementation as required
5. Participate in evaluating the design and development of participative arrangements	5.1 The *evaluation protocol* is designed in consultation with stakeholders
	5.2 A plan is developed for collection of *information and data*
	5.3 Information and data is analysed and evaluated
	5.4 Recommendations are made for improvement in the participatory arrangements as a result of the evaluation findings
	5.5 A report is provided to stakeholders and key personnel on the outcomes of the evaluation and the recommendations for further development and improvement
	5.6 Feedback is sought from stakeholders and an action plan developed for ongoing improvements

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Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Participative arrangements:

- are designed so that stakeholders are able to be involved in decision making that affects their health and safety. Participatory processes may include:
  - OHS and other consultative/planning committees
  - health and safety and other representatives
  - employee and supervisor involvement in OHS activities, such as inspections and audits
  - procedures for reporting hazards, and raising and addressing OHS issues
  - OHS included in management, staff and employee meetings

Factors that may impact on the design of participative arrangements include:

- language
- shift work and rostering arrangements
- timing of information and data provision
- literacy and numeracy levels
- workers with special needs
- workplace organisational structures (for example, size of organisation, geographic, hierarchical)
- cultural diversity
- management approach
- workplace culture and approach to OHS by managers, supervisors and employees

Stakeholders include:

- managers
- supervisors
- employees
- health and safety and other employee representatives
- OHS committees

Key personnel include:

- managers from other areas
- people involved in OHS decision making or who are affected by OHS decisions

Training needs should be defined for:

- managers
- supervisors
- health and safety representatives
- OHS committees
- other key personnel
- employees generally

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Resources include:	• financial requirements for implementation • personnel including time allocation • equipment • access to sources of information and data, such as OHS journals, websites and guidance material to circulate to stakeholders and key personnel
Evaluation protocol includes:	• criteria for evaluation, how the criteria will be measured, how the information and data will be collected, time period for collection of information and data
Information and data for evaluating participation arrangements may include:	• feedback from individuals and representatives, minutes of meetings, questionnaires, workshops and OHS management audits

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence of assistance in the design and development of OHS participative arrangements including consultation and communication processes within an organisation or business unit, either in an actual workplace, simulation exercise or scenario.

Evidence gathered for demonstration of competence will involve products developed for design and development, including support of key personnel, and review and evaluation of these processes; evidence of how these products were developed; and evidence of use of the products.

Specific Evidence Requirements

Required knowledge and understanding and required skills and attributes

These are detailed in the Diploma in Occupational Health and Safety knowledge and skills matrix.

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks.

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (3)	• consulting and communicating across the organisation and with stakeholders • preparing and presenting reports and other documentation
Collecting, analysing and organising information (3)	• gathering and analysing information and data from different sources to determine effective OHS participative arrangements
Planning and organising activities (3)	• planning and monitoring development of OHS participatory arrangements
Working in a team (3)	• working with personnel at all levels of the organisation and groups including the OHS committee and OHS representatives
Using mathematical ideas and techniques (1)	• applying numerical skills to information collection and data analysis
Solving problems (3)	• designing and developing participatory arrangements
Using technology (3)	• using software systems to extract and analyse information and data for design of participatory arrangements to manage OHS consultation and communication • using software systems, including word processing and flow charts, to document the participatory arrangements and related policies and procedures
Innovation skills (3)	• identifying ways to meet legislative and practical requirements • applying learning about OHS consultation and communication processes to improve OHS participatory arrangements

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Products that could be used as evidence include:	• documented policies and procedures for participatory arrangements • drafts, notes and research collated in designing participatory arrangements • documents used to inform and report to others in the organisation • emails, letters and other records of processes undertaken to manage OHS consultation and communication • memos, recommendations and minutes of meeting where the candidate worked to influence OHS and operational decisions • identified improvements in the participatory arrangements as a result of review and evaluation
Processes that could be used as evidence include:	• how processes and procedures were designed and developed, including how OHS consultations and communications were undertaken • how the provision of OHS communication and consultation was managed in the organisation or business unit • how the effectiveness of OHS participative arrangements were reviewed and evaluated
Resource implications for assessment include:	• access to workplace documentation and personnel • reports from other parties consulted in designing, implementing, managing and reviewing processes • access to relevant legislation, standards and guidelines
Validity and sufficiency of evidence requires:	• at least three examples of activities undertaken by the candidate • that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • that, while there should be some access to an actual workplace, part of the assessment may be through simulated project based activity, scenarios, case studies, role plays or actual design, implementation, use, monitoring and review of OHS participative arrangements
Integrated competency assessment means:	• that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant OHS units especially BSBOHS501A Participate in the coordination and maintenance of a systematic approach to managing OHS

BSBOHS504A Apply principles of OHS risk management

Unit Descriptor

This unit specifies the outcomes required to use a generic approach to identify hazards and assess and control OHS risks.

Competency Field

Business management services

Domain

Occupational health and safety

Application of the Competency

This unit addresses the underlying knowledge and skills required to provide a systematic approach to hazard identification, risk assessment and risk control, with the emphasis on elimination or, where this is not possible, minimisation of risk. It also includes conceptual models for understanding the nature of hazards.

The unit provides a basis for the hazard-specific competencies in BSBOHS505A Manage hazards in the work environment, and BSBOHS506A Monitor and facilitate the management of hazards associated with plant.

This unit is underpinned by the competencies of units BSBOHS403A Identify hazards and assess OHS risks, and BSBOHS404A Contribute to the implementation of strategies to control OHS risk.

A more advanced approach to risk assessment, which identifies the separate elements of risk analysis and risk evaluation, is provided in unit BSBOHS603A Analyse and evaluate OHS risk.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Access external sources of information and data to identify hazards	1.1 *External sources of information and data* are accessed to assist in identifying *hazards* 1.2 *Workplace sources of information and data* are reviewed to access and assist in identification of hazards 1.3 Input is sought from *stakeholders*, *key personnel* and *OHS specialists* 1.4 Formal and informal research is conducted to ensure currency with *workplace issues*
2. Analyse the work environment to identify hazards	2.1 *Occasions when action for hazard identification is required* are defined, documented and communicated 2.2 *Tools* are sourced to assist in the analysis of identified hazards 2.3 *Task demands* and *task environment* are examined for impact on the person to identify situations with a potential for injury or ill health

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	2.4 Workforce structure, organisation of work and work relationships are examined to identify situations with a potential for injury or ill health
	2.5 Work environment is examined for *agents* with a potential for injury or ill health
	2.6 Input is sought from stakeholders to clarify and confirm issues
3. Assess risk associated with a hazard	3.1 *Factors contributing to risk* are identified
	3.2 Current risk controls for each hazard are identified
	3.3 Adequacy of current controls (if any) is evaluated taking account of *relevant standards* and knowledge
	3.4 Discrepancies between current controls and required *quality of control* are identified
	3.5 Hazards requiring further control action are *prioritised*
	3.6 Method and outcomes of *risk assessment* are documented
4. Control risk associated with a hazard	4.1 A range of control options is developed in consultation with stakeholders and taking account of the outcomes of the risk assessment and the *hierarchy of control*
	4.2 Potential *factors impacting on the effectiveness of controls* are identified
	4.3 Advice is sought from OHS specialists and key personnel if required
	4.4 Appropriate authority and relevant resources to initiate and maintain controls are identified and sought
	4.5 Actions required to achieve change are identified and documented
	4.6 Extent of change and reduction in risk, as a result of controls, is analysed
5. Maintain hazard identification and risk control processes	5.1 A *risk register* is established and maintained relevant to the workplace
	5.2 Risk management procedures are documented and communicated as appropriate to stakeholders and key personnel
	5.3 Outcomes of risk management processes are documented and communicated to stakeholders and key personnel as appropriate
	5.4 Stakeholders and operational staff are involved in the risk management processes
	5.5 Situations are identified where OHS specialists may be required

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6. Monitor and review risk management processes	6.1 The effectiveness of the risk management processes is reviewed regularly
	6.2 Frequency, method and scope of review are determined in consultation with workplace stakeholders and key personnel
	6.3 Stakeholders and key personnel have input to the review
	6.4 Areas for improvement in the risk management processes are identified and recommendations made
	6.5 Action plans, including allocated responsibilities and time frames, are prepared for implementation

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

External sources of information and data may include

- OHS regulatory authorities
- industry bodies
- employer groups
- unions
- OHS specialists
- legislation, codes of practice and standards
- databases such as national and state injury data and NICNAS (National Industrial Chemicals Notification and Assessment Scheme)
- journals and websites
- manufacturers' manual and specifications

A hazard is:

- a source or a situation with a potential for harm in terms of human injury or ill-health, damage to property, damage to the environment, or a combination of these

Workplace sources of information and data may include:

- employees
- OHS representatives
- hazard, incident and investigation reports
- workplace inspections
- minutes of meetings
- reports
- audits
- material safety data sheets (MSDSs)
- manufacturers' manuals and specifications

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Stakeholders include:	• managers • supervisors • health and safety and other employee representatives • OHS committees • employees
Key personnel may include:	• managers from other areas • people involved in OHS decision making or who are affected by OHS decisions
OHS specialists may be internal or external and include:	• ergonomists • engineers • occupational hygienists • toxicologists • organisational psychologists • workplace injury and return to work advisors
Workplace issues may include:	• changes in work practice • changes in equipment, including technology • changes in work organisation, including contracting, hire arrangements, casualisation, supervisory arrangements, out workers, rosters, shift work, work hours and work relations • changes to legislation and standards • outcomes of court rulings • new knowledge on hazards • changes in social, political or community environment
Occasions when action for hazard identification is required include:	• at design or pre-purchase of buildings, equipment and materials • commissioning or pre-implementation of new processes or practices • new forms of work and organisation of work • before changes are made to workplace, equipment, work processes or work arrangements • planning major tasks or activities, such as equipment shutdowns • following an incident report • when new knowledge becomes available • at regular intervals during normal operations • prior to disposal of equipment, buildings or materials

Tools may include:	• job safety analysis (JSA) • audits • cause and effect diagrams • surveys
Task demands may include:	• required precision or accuracy • machine pacing or time pressure to complete a task • physical or physiological demands • arousal and alertness • repetitive nature of task
Task environment may include:	• lighting • noise • air quality • thermal
Agents may be:	• chemical • physical • biological • ergonomic • psychosocial
Risk is:	• the chance of something occurring that will result in injury or damage • measured in terms of consequences (injury or damage) and likelihood of the consequence
Factors contributing to risk may include those associated with:	• equipment • work environment • work organisation • task • the individual/operator • frequency and duration of exposure • number of people exposed/ involved
Relevant standards may include:	• legislation • codes of practice • Australian and industry standards • current practice in the industry • current knowledge related to the specific hazard and controls
Quality of control refers to:	• the level and reliability of the control compared with the level of risk

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Prioritisation may be done using:	• standard ranking tools • specially designed tools • other recognised processes
Risk assessment includes identification of:	• factors contributing to risk • current controls and their adequacy • discrepancy between current control and required standard • prioritisation or ranking of a number of risks, where appropriate
Hierarchy of control means developing risk controls within the following priority order:	• eliminate hazards • and where this is not practicable, minimise risk by: - substitution - isolating the hazard from personnel - using engineering controls - using administrative controls (e.g. procedures, training) - using personal protective equipment (PPE)
Factors impacting on the effectiveness of controls may include:	• language • shift work and rostering arrangements • literacy and numeracy levels • workplace organisational structures (size of organisation, geographic, hierarchical) • cultural diversity • training required • workplace culture related to OHS including commitment by managers and supervisors and compliance with procedures and training
A risk register may include all of the following:	• a list of hazards, their location and people exposed • a range of possible scenarios or circumstances under which the hazards may cause injury or damage • the results of the risk analysis related to the hazards • possible control measures and dates for implementation

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence of application of a risk management approach to identifying hazards, and assessing and controlling OHS risk, either in an actual workplace, simulation scenario or scenario.

Evidence gathered for demonstration of competence will involve products developed for systematic approaches to identifying hazards, and assessing and controlling risks; evidence of how these products were developed; and evidence of use of the products.

Specific Evidence Requirements

Required knowledge and understanding and required skills and attributes

These are detailed in the Diploma in Occupational Health and Safety knowledge and skills matrix.

Key competencies or generic skills relevant to this unit	The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit: Level (1) represents the competence to undertake tasks effectively Level (2) represents the competence to manage tasks Level (3) represents the competence to use concepts for evaluating and reshaping tasks. The bulleted points provide examples of how the key competencies can be applied for this unit.
Communicating ideas and information (3)	• communicating with relevant organisational personnel at all levels, OHS specialists and managers • preparing and presenting effective reports for a range of target audiences
Collecting, analysing and organising information (3)	• gathering and analysing information and data from different sources to identify hazards, assess risk and develop control strategies
Planning and organising activities (3)	• coordinating risk management processes • planning own activities
Working in a team (3)	• working with organisational personnel, including OHS representatives, OHS committees, managers and supervisors and, as required, OHS specialists to maintain and evaluate risk management procedures
Using mathematical ideas and techniques (2)	• applying numerical skills required to assess the risk of specific hazards

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Solving problems (3)	• collecting information and data • applying risk management processes, particularly the development of control strategies
Using technology (2)	• using software systems to assist in extraction, analysis and reporting of required information and data for risk management • accessing internal and other sources of information and data for risk management • using word processing and other basic software for interpreting charts, flowcharts, graphs and other visual information and data for risk management and reporting • using software systems for recording and filing documentation for risk management
Innovation skills (2)	• developing control strategies • identifying improvements to risk management processes • applying learning about hazard identification, risk assessment and risk control to future activities
Products that could be used as evidence include:	• documents used to inform and report to others in the organisation • policies and procedures • emails, letters, reports and other records of processes undertaken to identify hazards and control risks • reports of other parties such as supervisors, managers, OHS specialists
Processes that could be used as evidence include:	• how risk management procedures have been implemented
Resource implications for assessment include:	• access to workplace documentation and actual workplaces • reports from other parties consulted in identifying hazards and controlling risks • access to relevant legislation, standards and guidelines
Validity and sufficiency of evidence requires:	• at least three examples of development and/or application of risk management across a range of hazards, undertaken by the candidate • that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment

- that, while there should be some access to an actual workplace, part of the assessment may be through simulated project based activity, scenarios, case studies, role plays or actual implementation of risk management processes

Integrated competency assessment means:

- that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant OHS related units, particularly BSBOHS505A Manage hazards in the work environment, and BSBOHS506A Monitor and facilitate the management of hazards associated with plant

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BSBOHS505A Manage hazards in the work environment

Unit Descriptor

This unit specifies the outcomes required to identify hazards and assess and control risks in the work environment. It focuses on the knowledge, processes and techniques necessary to control specific hazards in the work environment.

Competency Field

Business management services

Domain

Occupational health and safety

Application of the Competency

Hazards may include noise, light, radiation, hazardous substances, dangerous goods, dusts and fibres, gravity (falls from heights), thermal environment, ergonomic hazards, manual handling, biological or psychosocial hazards or hazards arising from work organisation.

As there is a broad range of hazards, it is a requirement that the candidate will demonstrate competency across at least four of the major hazard groups.

Where the use of monitoring equipment is appropriate, useful underpinning skills are provided in unit BSBOHS406A Use equipment to conduct workplace monitoring.

This unit differs from BSBOHS504A Apply principles of OHS risk management, which takes a generic approach to risk management and provides underpinning knowledge and skills.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Access sources of information and data and the work environment to identify hazardous tasks or conditions	1.1 *External sources of information and data* are accessed to assist in identifying hazardous tasks or conditions for the selected *hazard* 1.2 *Workplace sources of information and data* are reviewed to assist in identification of hazardous tasks or conditions for the selected hazard 1.3 *Appropriate tools* are used in identifying hazardous tasks or conditions for the selected hazard 1.4 Workplace inspections are conducted, in consultation with stakeholders, using appropriate tools 1.5 Input is sought from *stakeholders*, *key personnel* and *OHS specialists* if required

2. Analyse the work environment to assess the risk	2.1 *Equipment* and *strategies* required for basic workplace measurement and monitoring of the selected hazard are identified and used as appropriate
	2.2 Results of workplace measurements are interpreted in accordance with *recognised standards*
	2.3 Input is sought from stakeholders to clarify and confirm issues related to the selected hazard
	2.4 Results of workplace measurements and interpretations are reported to stakeholders in a format easily understandable by the target group
	2.5 *Risk* associated with identified hazards in the work environment is assessed in consultation with stakeholders and taking account of effectiveness of existing controls
	2.6 Hazardous tasks or conditions requiring control action are identified and prioritised in consultation with stakeholders and taking account of recognised standards
	2.7 *Risk register* is established and updated as appropriate
3. Control risk associated with hazard	3.1 Information and data on control options for the specific hazard is sought from external sources
	3.2 Information and data on control options for the specific hazard is sought from stakeholders and key personnel
	3.3 A range of control options is developed and advised in consultation with stakeholders and key personnel by applying the *hierarchy of control*, noting that *personal protective equipment* is regarded as the least satisfactory control measure
	3.4 *Factors with a potential to impact on the effectiveness of controls* are identified
	3.5 Control strategy for the selected hazard is developed in consultation with stakeholders
	3.6 Outcomes of hazard identification, workplace monitoring and analysis and the resultant control strategy are communicated to stakeholders and key personnel for action as appropriate
4. Monitor and review effectiveness of control strategy	4.1 Effectiveness of control strategy is regularly reviewed
	4.2 Frequency, method and scope of review is determined in consultation with workplace stakeholders and workplace procedures
	4.3 Input to review is sought from stakeholders

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	4.4	Areas for improvement in the control of the selected hazard are identified and recommendations made for improvement
5. Apply professional practice	5.1	Collection of information and data, reporting of outcomes and maintenance of records are managed in an *ethical manner*
	5.2	Situations are identified where OHS specialists may be required

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

External sources of information and data may include:	• OHS regulatory authorities • National Occupational Health and Safety Commission (NOHSC) • industry bodies • employer groups • unions • OHS specialists • legislation, codes of practice and standards • databases such as national and state injury data and NICNAS (National Industrial Chemicals Notification and Assessment Scheme) • journals and websites • manufacturers' manual and specifications
A hazard is:	• a source or a situation with a potential for harm in terms of injury or ill-health, damage to property, damage to the environment, or a combination of these
Workplace sources of information and data may include:	• employees • OHS representatives • hazard, incident and investigation reports • workplace inspections • minutes of meetings • reports and audits • material safety data sheets (MSDSs)
Appropriate tools may include:	• checklists produced as part of codes of practice • photographs • notes or drawings • tools developed for a specific work environment, situations or hazard

	• tools provided by external sources or advisors
Stakeholders include:	• managers • supervisors • health and safety and other employee representatives • OHS committees • employees
Key personnel include:	• managers in related areas • people involved in OHS decision making or who are or are affected by OHS decisions
OHS specialists may be internal or external and include:	• ergonomists • engineers • occupational hygienists • toxicologists • organisational psychologists • workplace injury and return to work advisors
Equipment may include:	• basic instrumentation such as sound level meters, light meters, goniometer, simple gas sampling devices and temperature and humidity measuring devices
Strategies may include:	• questionnaire, interview, focus group
Recognised standards may include:	• OHS regulations • national and industry standards • codes of practice • exposure standards • guidance notes
Risk is:	• the chance of something happening that will result in injury or damage • measured in terms of consequences (injury or damage) and likelihood of the consequence
A risk register covers:	• a list of hazards, their location and people exposed • a range of possible scenarios or circumstances under which these hazards may cause injury or damage • the results of the risk assessment • and may include possible control measures and dates for implementation

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Hierarchy of control means developing risk controls within the following priority order:	• eliminate hazards • and where this is not practicable, minimise risk by: - substitution - isolating the hazard from personnel - using engineering controls - using administrative controls (e.g. procedures, training) - using personal protective equipment (PPE)
Personal protective equipment (PPE) is:	• equipment designed to be worn by a person to provide protection from hazards, and may include: - head protection - face and eye protection - respiratory protection - hearing protection - hand protection - clothing and footwear
Factors with a potential to impact on effectiveness of controls may include:	• language • shift work and rostering arrangements • literacy and numeracy levels • workplace organisational structures (size of organisation, geographic, hierarchical) • cultural diversity • training required • workplace culture related to OHS including commitment by managers and supervisors and compliance with procedures and training
Ethical manner includes attention to:	• confidentiality • privacy as appropriate • commercial in confidence information and data as appropriate • own currency of knowledge

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence of effective hazard identification, analysis of the work environment and participation in the development of the risk control for at least four selected hazard types, either in an actual workplace, simulation exercise or scenario.

Specific Evidence Requirements

Required knowledge and understanding and required skills and attributes

These are detailed in the Diploma in Occupational Health and Safety knowledge and skills matrix.

Key competencies or generic skills relevant to this unit	The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit: Level (1) represents the competence to undertake tasks effectively Level (2) represents the competence to manage tasks Level (3) represents the competence to use concepts for evaluating and reshaping tasks. The bulleted points provide examples of how the key competencies can be applied for this unit.
Communicating ideas and information (3)	• communicating with relevant organisational personnel at all levels, OHS specialists and managers • preparing and presenting effective reports for a range of target audiences
Collecting, analysing and organising information (3)	• gathering and analysing information and data and advice from different sources to identify hazards, analyse work environment and develop control strategies • interpreting information and data in a manner meaningful to the target group
Planning and organising activities (3)	• analysing the work environment • planning own activities
Working in a team (3)	• working with organisational personnel including OHS representatives, OHS committees, managers and supervisors and, as required, OHS specialists to conduct information and data collection, analysis of environment and development of controls
Using mathematical ideas and techniques (3)	• applying numerical skills and knowledge of units of measurement to interpret measurement information and data
Solving problems (3)	• collecting OHS information and data, analysing work environment and developing control strategies
Using technology (2)	• using basic measurement and direct reading instruments where appropriate • using software systems to assist in extraction, analysis and reporting of required information and data on specific hazards

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	• using word processing and other basic software for displaying visual information and data for reporting results and recommendations • using software systems for recording and filing information and measurement data
Innovation skills (2)	• developing control strategies • applying learning about environmental analysis to manage future activities
Products that could be used as evidence include:	• completed methods used for collecting information and data • measurements taken of the work environment • work plans • documentation related to control measures • emails, letters, reports and other records of processes undertaken to identify hazards and assess risks • reports of other parties such as supervisors, managers and OHS specialists
Processes that could be used as evidence include:	• how measurements were taken and analyses conducted • how measurements/observations were analysed • how control strategies were developed and implemented
Resource implications for assessment include:	• access to workplace documentation and actual workplaces or simulated workplace • reports from other parties consulted in identifying hazards and conducting risk assessments • access to relevant legislation, standards and guidelines
Validity and sufficiency of evidence requires:	• demonstration of competence by the candidate in identifying and controlling a specific situation to suit the operational context for at least four different hazard types: - the hazard types may be from the list – noise, light, radiation, hazardous substances, dangerous goods, dusts and fibres, thermal environment, ergonomic hazards, manual handling, gravity (falls from heights), biological or psychosocial hazards or hazards arising from work organisation - note that hazards associated with plant – including mobile plant, pressure vessels and equipment generally, and electricity – are not included in this unit as they are specifically addressed in unit BSBOHS506A Monitor and facilitate the management of hazards associated with plant

- that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment
- that, while there should be some access to an actual workplace, part of the assessment may be through simulated project based activity

Integrated competency assessment means:

- that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant OHS related units, particularly BSBOHS504A Apply principles of OHS risk management, and BSBOHS506A Monitor and facilitate the management of hazards associated with plant

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BSBOHS506A Monitor and facilitate the management of hazards associated with plant

Unit Descriptor

This unit specifies the outcomes required to effectively identify hazards, and assess and control risks associated with plant and equipment, including mobile plant, machinery, electrical equipment, pressure vessels and plant affecting public safety. It has been designed to be consistent with the National Standard for Plant [NOHSC: 1010 (1994)].

Competency Field

Business management services

Domain

Occupational health and safety

Application of the Competency

This unit focuses on the knowledge, processes and techniques necessary to apply a systematic approach to monitoring the identification of hazards and assessing risk arising from the use of plant, and systems of work associated with plant. The focus is on eliminating the hazard or, where this is not practicable, minimising risks to health and safety arising from plant.

The unit examines regulatory requirements for design, manufacture, testing, installation, commissioning, use, repair, alteration, dismantling, storage and disposal of plant. Identification and elimination of OHS hazards at the design stage guides the selection and implementation of appropriate OHS risk controls throughout the life cycle of plant or equipment.

Unit BSBOHS504A Apply principles of OHS risk management, covers a generic approach to risk management and should be utilised as underpinning knowledge for this unit.

While hazards associated with plant may include noise, chemicals and ergonomic hazards, these are specifically addressed under unit BSBOHS505A Manage hazards in the work environment.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Identify hazards arising from the use of *plant* and associated systems of work	1.1 *Sources of information, data and advice on plant and equipment hazards* are accessed to assist in identifying hazards associated with plant
	1.2 *Hazards* in the design, manufacture, registration, supply, installation, commissioning, use, maintenance, testing, dismantling, storage and disposal of plant and *systems of work associated with plant* are identified

	1.3	Work environment, tasks and circumstances that may lead to hazardous situations or exacerbate risk associated with use of plant and equipment are identified and analysed
	1.4	Appropriate *specialist advisors, stakeholders,* relevant *key personnel* and other parties are identified and consulted in the process of hazard identification
	1.5	Appropriate procedures for *recording and reporting* on hazards associated with plant are established, reported and reviewed as part of the systematic approach to managing OHS
2. Analyse OHS risk associated with plant	2.1	The method of *risk assessment* is determined in consultation with operators and stakeholders and, if required, specialist advisors
	2.2	Risks associated with identified hazards arising from plant are assessed in consultation with operators and stakeholders, taking into account the effectiveness of existing controls
	2.3	*Risk registers* are developed and regularly updated for items of plant and associated equipment
	2.4	Risks requiring further control action are identified
3. Control risks associated with plant hazards	3.1	Information, data and advice on risk control options for plant and machinery hazards are sourced
	3.2	Operators and stakeholders and key personnel are involved in the development of controls
	3.3	Measures for ensuring the health and safety of persons accessing, using and/or maintaining plant are adopted and controlled by applying the *hierarchy of control*
	3.4	Controls for risks associated with plant, including *access, egress, dangerous parts, guarding, operational controls, emergency stops and warning devices, registration and design of plant, and certification of operators* are applied
	3.5	Workplace monitoring processes to eliminate or control risks are properly used and maintained
	3.6	Regular and appropriate reporting to stakeholders is undertaken
4. Identify and recommend controls for hazards associated with maintenance activities and continued safe use of plant and equipment	4.1	Stakeholders and key personnel are involved in the development of controls
	4.2	Circumstances are identified where *permit to work procedures or certification* are required to assist in ensuring a safe working environment

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	4.3 Permit to work procedures or certification are responded to and monitored in liaison with relevant key personnel to assist in ensuring a safe working environment
	4.4 *Isolation procedures* are implemented and monitored in liaison with relevant key personnel to ensure continued safety of maintenance and *other personnel*
	4.5 Purchasing procedures include actions to address OHS implications of plant and equipment purchase
	4.6 Maintenance procedures are developed, documented and communicated to ensure plant and equipment are in a safe condition for use
	4.7 Action is taken to ensure that any *modifications to plant or equipment* are safe and suitable for the task, appropriately documented and work practices modified as required for safe operation
	4.8 Maintenance systems are monitored and evaluated for effectiveness, suitability and accuracy in ensuring safe operation of plant and equipment, and action taken as appropriate
5. Identify and advise on licensing and certification issues associated with plant and equipment	5.1 Types of plant (including plant design) requiring *registration* and tasks requiring *operator licensing and/or certification* are identified in accordance with legislative requirements
	5.2 *OHS requirements* to meet plant registration, operator licensing and certification, and other legal requirements are documented and communicated to managers and relevant key personnel
	5.3 *Training requirements* to meet *licensing, certification, registration* and *other legal requirements* are documented and communicated to managers and key personnel
	5.4 Training needs are analysed to ensure information, instruction and training prior to commencement of work on new plant and equipment and new operating methods
	5.5 Compliance with regulatory requirements for operator licensing, registration and certification in the workplace is monitored and reported
	5.6 Appropriate records for statutory and specialist plant and associated operator competencies are identified, documented and maintained

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6. Review and evaluate risk control measures for plant	6.1 Effectiveness of control measures are reviewed and risk assessments conducted as appropriate
	6.2 Outcomes of OHS risk assessments are compared with criteria to identify risks requiring further risk control and risks deemed *as low as reasonably achievable (ALARA)*
	6.3 Stakeholders, key personnel, operators and appropriate specialist advisors, are involved in developing relevant risk control plans for plant
	6.4 *Appropriate records* are maintained for the operating life of the plant
	6.5 Improvements arising from the review process are recommended or implemented with appropriate key personnel including manufacturers
	6.6 The system of managing OHS is reviewed to ensure plant safety

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Plant (as defined in National Standard for Plant) may include:	• any machinery, equipment (including scaffolding), appliance, implement or tool and any other component, fitting or accessory • fixed and or specified plant as related to Commonwealth, state and territory OHS legislation • mobile plant and load shifting equipment • pressure equipment such as boilers, pressure vessels and pressure piping • electrical installation and plant such as wiring, accessories, fittings, consuming devices, control and protective gear, converters and generators
Sources of information, data and advice on plant and equipment hazards may include:	• relevant Commonwealth, state or territory OHS legislation, regulations, associated standards and codes of practice • Australian standards • National Plant and Certification Standards and associated guidance material • National Occupational Health and Safety Commission (NOHSC) • state and territory OHS regulatory bodies • professional associations such as Institute of Engineers Australia, Design Institute of Australia, Building Design Professionals • employer groups, unions and industry bodies

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	• OHS professionals including those working in safety engineering, occupational hygiene, occupational health, injury management, toxicology, ergonomics and epidemiology • manufacturers' manuals and specifications • employees and operators • hazard, incident and investigation reports • workplace inspections • minutes of meetings • reports • audits • questionnaires and surveys
A hazard is defined as:	• a source or a situation with a potential for harm in terms of human injury or ill health, damage to property, damage to the environment, or a combination of these
Systems of work associated with plant may be described in:	• organisation policies and procedures addressing areas, such as operations, maintenance, purchasing • management systems, such as fleet management, procurement, design and quality assurance • manufacturers' operations manuals • standard operating procedures • documents describing how tasks, projects, inspections, jobs and processes are to be undertaken
Specialist advisors may be internal or external and include:	• ergonomists • occupational hygienists • engineers (such as design, acoustic, safety, mechanical, maintenance) • injury management personnel • manufacturers • designers • suppliers and distributors
Stakeholders may include:	• managers • employees • supervisors • health and safety and other employee representatives • OHS committees

Key personnel may include:	• maintenance and trade persons • workplace trainers and assessors • managers • supervisors • users/operators • OHS representatives
Recording and reporting procedures may include:	• policies and procedures underpinning systems of management, particularly OHS • purchasing and contracting procedures • standard operating procedures • job and task statements • documents describing how tasks, projects, inspections, jobs and processes are to be undertaken • job safety analysis worksheets • risk assessments • plant and equipment registers • maintenance and service logs, sheets, cards, diaries • quality system documentation
Risk is:	• the chance of something happening that will result in injury or damage • measured in terms of consequences (injury or damage) and likelihood of the consequence
Risk assessment includes identification of:	• factors contributing to risk • current controls and their adequacy • any discrepancy between current controls and required standard and quality of control • prioritisation or ranking of risk where appropriate
A risk register may be an internal or external document customised for the workplace and include:	• a list of hazards, their location and people exposed • a range of possible scenarios or circumstances under which the hazards may cause injury or damage • the results of risk assessments • and may include possible control measures and proposed dates for implementation
Hierarchy of control means developing risk controls within the following priority order:	• eliminate hazards • and where this is not practicable, minimise risk by: - substitution - isolating the hazard from personnel - using engineering controls - - using administrative controls (e.g. procedures, training)

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	- using personal protective equipment (PPE)
Access and egress to plant must allow for:	• access to parts of plant which require cleaning and maintenance • access/egress to operator's workstation for normal and emergency conditions • may include systems to enable safe access and egress such as: - emergency lighting - safety doors - alarm systems
Dangerous parts:	• are potential contact or entrapment points to which the operator may be exposed during: - operation - examination - lubrication - adjustment - maintenance
Guarding may include:	• permanently fixed physical barriers where no access of any part of a person is required • interlocking physical barriers where access to dangerous areas is required during operation • physical barriers securely fixed by means of fasteners or devices • presence-sensing safeguarding systems
Operational controls must:	• be suitability identified • have nature and function clearly indicated • be readily and conveniently located • be guarded to prevented unintentional activation • be capable of locking in 'off' position to enable disconnection of all motive power and forces • be of 'fail safe' type
Emergency stops and warning devices must be:	• prominently, clearly and durably marked • coloured red (push buttons, bars or handles) • unable to be affected by electrical or electronic circuit malfunction • fitted where risk assessment identifies a need
Registration and design of plant may include:	• relevant state and territory jurisdictional requirements
Operator certification is:	• the process by which a certificate to use or operate industrial equipment is issued by a certifying authority

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Permit to work procedures or certification are defined as written authority documents that may:

- include approval to undertake work and activities including tests, measurements and monitoring such as hot work permits for welding and cutting in hazardous environments, and confined space entry
- be authorised by a responsible or designated person directly in control of the work
- certify appropriate precautions and controls to be followed
- incorporate checklists, conditions and actions such as the frequency and duration of the work and atmospheric tests
- follow recognised industry standard recording practices

Isolation procedures, known also as lock-out and tag-out, is a safety device system and may:

- include devices such as isolating switches, locks, safety bars, shields, full pressure blanks, spectacle blanks to lock controls – especially moving parts, equipment, systems or devices with stored energy – to an 'off' position while a worker is in a vulnerable position such as:
  - performing maintenance on rotating equipment, and electrical and hydraulic systems
  - locking switches with keys needed to open the lock
- be used in conjunction with a danger tag system that promotes greater safety consciousness amongst the workforce for all situations in which danger to persons could arise from:
  - the operation of machinery, plant or equipment
  - the flow of steam, electricity, gases or liquids
  - the use of faulty or unsafe plant and equipment
- include multiple locking systems and involve written authorisation by a competent person

Other personnel may include:

- visitors
- public
- general community
- other employees and contractors

Modifications to plant and equipment may include:

- changes to physical specification of plant, parts or associated tools
- changes in specification of raw material or plant operating materials, such as lubricants
- changes to work processes and systems
- introduction of contractual arrangements
- introduction of new and emerging technology

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Registration means:	• the administrative process by which a certifying authority requires an organisation or industry to register plant, machinery and equipment
Operator licensing and/or certification means:	• any form of regulation that restricts entry to an occupation or a profession to those who meet competency related requirements stipulated by a regulatory authority. (This includes any physical or implied licence, registration, certification, approval or permit that is required by a person in order to gain employment/self employment)
OHS requirements related to plant may include:	• OHS obligations and responsibilities to provide safe equipment • OHS consultation and participation • systematic hazard identification, risk analysis and evaluation, and risk control • compliance licensing and certification competencies for operators applicable to state and/or territory legislation • documentation requirements relating to plant • OHS training and information • purchasing/procurement policy and procedures • OHS policies and procedures • safe work procedures • task observation • safe behaviour and defensive driving practices • emergency preparedness • incident investigation
Training requirements should be defined for:	• person(s) undertaking supervised and/or accredited training towards assessment for a particular certificate • persons requiring training for safe use of plant or equipment
Licensing, certification and registration requirements may be defined in:	• relevant national and Australian standards • state and territory OHS legislation and codes of practice • licensing and certification requirements applicable to state and/or territory legislation including OHS, dangerous goods, hazardous substances, mining and petrochemical
Other legal requirements include:	• relevant state or territory transport regulations
As low as reasonably achievable (ALARA) means:	• a basic concept where risks are kept as low as is reasonably achievable

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Appropriate records include:

- compliance with legislative requirements
- risk assessments
- noise and vibration analysis
- maintenance and modification records

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence of monitoring and facilitating effective identification and control of hazards associated with plant and equipment, either in an actual workplace, simulation exercise or scenario.

Evidence gathered for demonstration of competence will involve products developed for the identification and control of hazards associated with plant and equipment; evidence of how these products were developed; and evidence of use of the products.

Specific Evidence Requirements

Required knowledge and understanding and required skills and attributes

These are detailed in the Diploma in Occupational Health and Safety knowledge and skills matrix.

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks.

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (3)	• communicating with workgroup and relevant organisational personnel, specialists and managers • preparing and presenting effective reports
Collecting, analysing and organising information (3)	• gathering and analysing information and data and advice from different sources to determine risk control options
Planning and organising activities (3)	• coordinating activities and techniques to minimise hazards of plant and equipment and associated systems of work • planning own activities relating to consultation on plant and equipment issues

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Working in a team (2)	• working with workgroup, organisational personnel and advisors to implement risk controls
Using mathematical ideas and techniques (2)	• applying numerical skills to evaluate trends, information and data • interpreting graphical information and data relevant to plant and equipment specifications, performance and management
Solving problems (3)	• developing and implementing strategies to resolve OHS issues associated with plant
Using technology (2)	• using software systems to extract, analyse and report on relevant information and to communicate effectively • using software systems for recording and filing documentation involved in managing OHS issues associated with plant and equipment
Innovation skills (2)	• identifying improvements to plant and equipment management • applying learning about plant hazard management to manage operations in the future
Products that could be used as evidence include:	• written plans, systems, policies and procedures, standard operating procedures, job safety analysis documents, risk registers and risk matrices • specialist advice sought and obtained • documents used to inform/report to other personnel • emails, letters, reports, registers, and other records of processes undertaken to identify, assess and control hazards associated with plant and equipment • case studies, simulations and scenarios • identified reduction in risks related to plant and equipment as a result of input and action by the candidate
Processes that could be used as evidence include:	• recognised industry tools and methods used such as standard operating procedures (SOP), job safety analysis (JSA), task analysis and quality assurance • documented outcomes of consultations
Resource implications for assessment include:	• access to workplace or simulated workplace • access to resources outlining a range of hazards and work situations (e.g. video, interactive CD, internet and other computer based resources) • access to relevant legislation, standards and guidelines

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	• access to manufacturers' manuals including specifications and operational information and data
Validity and sufficiency of evidence requires:	• at least three examples of activities undertaken by the candidate to suit specific operational context and level of authority • that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • that, while there should be some access to an actual workplace, part of the assessment may be through simulated project based activity, scenarios, case studies, role plays or actual activities undertaken as part of identifying, assessing and controlling hazards associated with plant and equipment
Integrated competency assessment means:	• that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant OHS related units particularly BSBOHS504A Apply principles of OHS risk management, and BSBOHS505A Manage hazards in the work environment

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BSBOHS507A Facilitate the application of principles of occupational health to control OHS risk

Unit Descriptor

This unit specifies the outcomes required to facilitate the application of principles of occupational health and implement strategies to control OHS risk.

Competency Field

Business management services

Domain

Occupational health and safety

Application of the Competency

This unit considers the impact of agents in the workplace on the health of workers, and the physical and psychosocial effects to workers' health arising from work organisation and work processes.

It covers knowledge of occupational health and strategies to deal with occupational health issues. The unit enables candidates to facilitate the application of principles of occupational health to control OHS risk in the workplace.

OHS practitioners will identify occupational health hazards and seek solutions and interventions to bring about change in the workplace. These practitioners will facilitate risk assessment and controls to reduce exposure to the effects of hazardous materials and hazardous conditions in the workplace.

BSBOHS505A Manage hazards in the work environment addresses hazards of both short-term and long-term latency, including those hazards that impact on health.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Identify the potential for adverse effects on health from agents in the workplace	1.1 *External sources of information and data* are accessed to assist in identifying *agents* in the workplace with a potential to adversely affect health
	1.2 *Workplace sources of information and data* are reviewed to access information to assist in identifying agents in the workplace with a potential to adversely affect health
	1.3 The role of individual difference in susceptibility to occupational disease or injury is considered in identifying adverse effects on health
	1.4 Situations are identified where *health professionals* may be required

2. Identify the potential for adverse effects on health related to the interaction of the work environment, work systems and people	2.1 Knowledge of sources of occupational disease and injury are applied to analyse *job characteristics and nature of work* and the *context of work* to identify situations with a potential for physical or psychological harm to employees
	2.2 Workplace and *internal sources of information and data* are accessed, taking account of privacy requirements, to assist in identifying situations with a potential for physical or psychological harm to employees
	2.3 The role of individual differences in susceptibility is considered in assessing the potential scope and impact of situations with adverse effects on health
3. Facilitate the control of risks to health in the workplace	3.1 The *hierarchy of control* is applied to control risks to occupational health
	3.2 Workplace policies, procedures and schedules are examined to minimise situations with a potential to adversely cause physical or psychological harm
	3.3 *Organisational communication processes* are examined to maximise clarity of roles and employee involvement
4. Participate in the development of strategies to communicate occupational health information and data	4.1 *Target groups* for advice are researched and identified
	4.2 Health effects that may result from work and working environment are interpreted and discussed with *stakeholders*
	4.3 Communication strategies are implemented in accordance with *legal and ethical requirements*
	4.4 The effectiveness of health communication processes is evaluated and monitored
5. Monitor and facilitate occupational health education and training	5.1 The need for health information and data, and training is identified in consultation with workplace stakeholders
	5.2 Personnel including health professionals and *resources* to deliver the occupational health training are identified
	5.3 Roles and responsibilities for delivery of training are identified and allocated
	5.4 Health information and data, and education is provided to managers and workers in a manner that facilitates understanding and uptake
	5.5 Training, evaluation and monitoring processes are undertaken

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6. Review and evaluate the occupational health program	6.1 Outcomes of occupational health programs evaluated through *the evaluation plan*
	6.2 The overall impact of the occupational health program is evaluated and documented
	6.3 Recommendations are made for future programs as a result of the evaluation

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

External sources of information and data may include:	• OHS regulatory authorities • National Occupational Health and Safety Commission (NOHSC) • industry bodies • employer groups • unions • OHS specialists • legislation, codes of practice, associated standards and guidance material • databases such as national and state injury data, NICNAS (National Industrial Chemicals Notification and Assessment Scheme) • journals and websites • manufacturers' manuals and specifications
Agents may be:	• chemical • physical • biological • ergonomic • psychosocial
Workplace sources of information and data may include:	• employees • hazard, incident and investigation reports • written and verbal complaints • minutes of meetings • reports • audits • material safety data sheets (MSDSs) • questionnaires
Health professionals may include:	• occupational health physicians • general practitioners

	• occupational health nurses • health educators
Job characteristics and nature of work may include:	• workplace processes and the hazards they produce • toxicology of hazardous materials • health effects of physical hazards in the workplace such as noise, vibration, thermal extremes • effectiveness of different control strategies • relative costs of implementation of appropriate control strategies • job demands such as high physical, mental or emotional demands; lack of variety; short work cycle; workload • work load and scheduling issues such as pace; shift work, inflexible work schedules; unpredictable, long or unsocial hours • participation in decision making and control of workload • adequacy of or faulty equipment
Context of work may include:	• organisational factors such as communication; levels of support for problem solving and personal development; changing employment patterns; and definition of organisational objectives • interpersonal relationships at work, including with supervisors and peers • role ambiguity, role conflict, role responsibilities • career issues including promotion, job security and skills
Internal sources of information and data may include:	• HR, IR, personnel management and staff • occupational health and employee assistance staff • supervisors • managers • OHS and employee representatives
Hierarchy of control means developing risk controls within the following priority order:	• eliminate hazards • and where this is not practicable, minimise risk by: - substitution - isolating the hazard from personnel - using engineering controls - using administrative controls (e.g. procedures, training) - using personal protective equipment (PPE)

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Organisational communication processes may include:	• formal and informal communication processes • training • position descriptions and performance appraisal processes
Target groups identification includes:	• characteristics such as, but not limited to: - size of workforce, group, team etc - location - variability of roles, responsibilities etc - language and literacy - cultural background - characteristics influencing communication strategies, such as access to information and data and empowerment
Stakeholders may include:	• employees • managers • health and safety and other employee representatives • OHS committees • families of employees • local community
Legal requirements may include:	• relevant OHS legislative requirements related to use of certain chemicals and processes in the workplace • privacy legislation • equity and workers with special needs
Ethical requirements may include:	• confidentiality • privacy • equity • workplace diversity
Resources may include:	• physical • financial
The evaluation plan may include:	• appropriate communication strategies for the workplace • training content • training availability including delivery schedule • identification of relevant target groups • impact on workforce • impact on improvements to the workplace as a result of interventions

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this standard must be able to provide evidence of the facilitation of strategies to assist with controlling OHS risks associated with occupational health issues, either in an actual workplace, simulation exercise or scenario.

Evidence gathered for demonstration of competence will involve products developed to facilitate occupational health issue resolution; evidence of how these products were developed; and evidence of use of the products. A basic knowledge of systematic approaches to managing OHS is also required.

Specific Evidence Requirements

Required knowledge and understanding and required skills and attributes

These are detailed in the Diploma in Occupational Health and Safety knowledge and skills matrix.

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks.

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (3)	• communicating with personnel at all levels of the organisation, health professionals and managers • conducting training sessions • preparing and presenting effective reports
Collecting, analysing and organising information (3)	• gathering information and data from external and internal sources on health issues • analysing information and data to identify priorities
Planning and organising activities (3)	• planning and arranging occupational health activities • planning evaluation as an integral part of the process
Working in a team (3)	• working with enterprise personnel to control risks to workplace health • working with health professionals
Using mathematical ideas and techniques (2)	• applying numerical skills when interpreting information and data

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Solving problems (3)	• collecting information and data on health issues • developing prevention and communication strategies
Using technology (2)	• using software systems to extract, analyse and report on information and data required for occupational health • developing documentation using word processing and software for charting and visual presentation of information and data • using software systems for recording and filing occupational health documentation
Innovation skills (3)	• identifying improvements to occupational health in the workplace • developing communication strategies • applying learning about occupational health to develop improved practices in the future
Products that could be used as evidence include:	• documents, reports, surveys, policies, plans • training, information and data programs and presentations • emails, letters and other records of processes undertaken to develop an occupational health program • reports from other parties such as health professionals
Processes that could be used as evidence include:	• outcomes of meetings, and reports from health professionals, managers and others involved in the development and implementation
Resource implications for assessment include:	• access to workgroups • access to workplace or simulated workplace • access to relevant legislation/standards/guidelines • access to sources of health information and data
Validity and sufficiency of evidence requires:	• assessment should be sufficient to cover the full process of identifying occupational health issues in the workplace and developing and implementing strategies to minimise risks to occupational health • that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment

	• that assessment may be through simulated project based activity or actual development of an occupational health program
Integrated competency assessment means:	• that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant OHS related units

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BSBOHS508A Participate in the investigation of incidents

Unit Descriptor

This unit specifies the outcomes required to participate in the planning, conduct and reporting of investigations of incidents which have resulted in, or have a potential to result in, injury or damage. Situations may range from relatively minor through to major incidents.

Competency Field

Business management services

Domain

Occupational health and safety

Application of the Competency

This unit addresses the application of skills and knowledge required to participate in the investigation of incidents for prevention. It includes conducting an initial assessment of the situation; establishing the scope and legal parameters of the investigation; conducting a systematic analysis to identify underlying causes and actions for prevention; and reporting on the outcomes of the investigation.

This competency may be applied to both straightforward investigations as well as formal investigations of complex situations.

Where the investigation is of a complex situation or the application of the skills and knowledge is in a larger organisation, procedures for incident investigation should exist. In smaller organisations there may not be existing investigation procedures and external OHS expertise should be accessed where required.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Facilitate initial assessment of situation	1.1 Area is checked to ensure that it is safe and arrangements have been made to meet initial needs of those involved in the incident
	1.2 Integrity of the site and personnel is established and maintained in accordance with legal requirements and to ensure objectivity of information collected
	1.3 Statutory and legal obligations are identified and, if required, *relevant government agencies* advised
	1.4 *Key persons within the organisation* are notified
	1.5 Factors affecting the *complexity* of the investigation are determined and notified
	1.6 *Stakeholders and interested parties* are identified and notified as appropriate

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2. Participate in the establishment of an investigation processes	2.1 Organisational policies and procedures for incident investigation are accessed and known
	2.2 *Investigation team* is convened appropriate to the level of the investigation
	2.3 Scope of the investigation is defined taking account of legislative requirements
	2.4 Involvement of interested parties is facilitated in accordance with legislative requirements
	2.5 Resources required to conduct the investigation, including the need for expert advice (if required), are identified and sourced
	2.6 *Barriers to investigation* are identified and addressed
	2.7 Action plans and time lines are developed by the investigation team
3. Collect information and data for analysis	3.1 Sources of information and data are identified and accessed
	3.2 Incident site, equipment and other evidence involved is inspected
	3.3 Information and data gathered by others is facilitated
	3.4 Statements, photographs, measurements and documentary evidence are taken and recorded, taking account of objectivity, confidentiality and legal implications
	3.5 Site, evidence and all necessary documentation is appropriately secured
	3.6 Members of investigation team are appropriately involved
4. Analyse information and data gathered to identify immediate and underlying causes and practical prevention measures	4.1 *Conceptual basis for the analysis* is identified and understood by the investigation team
	4.2 *Time line of events* leading up to incident is constructed
	4.3 *Causative event(s)* is researched
	4.4 *Conditions and circumstances* that contributed to the causative event are identified
	4.5 Intervention points on the time line for prevention are identified
	4.6 Strategies to prevent the re-occurrence of the incident are identified
5. Compile investigation report	5.1 Results of analysis are documented in a format to suit the required *target audiences* and legal requirements

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5.2 Report is phrased in objective terms and cites evidence and reasons for conclusions

5.3 Report includes recommendations for prevention

5.4 Following appropriate authorisation, relevant information and data is disseminated to key personnel, stakeholders and external agencies as appropriate

5.5 Findings from the report are used to develop further prevention strategies

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Relevant government agencies may include:

- OHS authorities
- environment protection agencies
- police and other emergency services

Key persons within the organisation may include:

- senior management
- OHS specialists within organisation
- organisational legal advisor
- union or staff association representatives
- workgroup members
- supervisors
- personnel involved in incident/situation
- employee assistance personnel
- external specialist personnel and contractors

Complexity may be affected by:

- legal implications arising from the incident or post incident related matters
- involvement of external agencies
- language competencies of parties involved
- technical implications
- seriousness of injury or other outcomes
- conflict of interest issues
- existence of secondary hazards
- administrative implications
- level of public or political interest
- international conventions
- number of other parties, including sub-contractors

Stakeholders and interested parties may include:

- community
- the organisation’s board or advisory council

- coroner
- government agencies, including OHS and emergency service agencies
- managers
- insurance companies
- employees and family members
- politicians
- workgroup members and people who may be exposed to similar situations
- unions
- employers
- designers
- manufacturers
- suppliers and distributors
- persons in control of workplaces
- sub-contractors
- importers
- installers
- media

Investigation team should include persons:

- familiar with the task and the work environment
- responsible for performance standards within the work environment (e.g. supervisor)
- with OHS expertise
- in OHS representative role
- in authority in organisation such as company/organisational legal advisor and technical experts as required
  - Note: that different roles may be performed by the one person, especially in smaller organisations

Barriers to investigation may include:

- changes to incident scene
- length of time from when incident occurred/first identified
- management and employee attitude including desire to protect self and others
- political and community stakeholder sensitivity
- time limits imposed
- limited resources available
- legal restrictions or limitations (temporary, short-term or long-term)
- geographical location and/or accessibility
- economic implications

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	• condition of witnesses • cultural issues • language • availability of research data and analysis or testing equipment • availability of technical design information and data relevant to the investigation • lack of records
Conceptual basis for the analysis should:	• emphasise analysis of the systems in place at the time of the incident • focus on the 'why' and 'how' rather than the 'what' • encourage an open minded, objective approach • not focus on individual behaviour or fault
Time line of events should:	• extend back in time as far as required and not just focus on immediate events
A causative event is:	• the key event that resulted in the particular outcome(s) of injury or damage
Condition is:	• a permanent situation such as type of equipment, work practice, design of work environment
Circumstance is:	• a short-term situation that is relatively unusual, such as a storm or when a key person is absent
Target audiences for the report(s) may include:	• board of management • senior managers • OHS committee • external agencies • police or coroner

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this standard must be able to provide evidence that OHS incidents have been investigated in a systematic manner. Incidents investigated may range from relatively minor to major. This unit can be assessed in an actual workplace, simulation exercise or scenario.

Evidence will demonstrate that an initial assessment of the situation has been made; processes established; information collected and systematically analysed; recommendations made for prevention; and a report compiled and relevant information and data disseminated.

Specific Evidence Requirements

Required knowledge and understanding and required skills and attributes

These are detailed in the Diploma in Occupational Health and Safety knowledge and skills matrix.

Key competencies or generic skills relevant to this unit	The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit: Level (1) represents the competence to undertake tasks effectively Level (2) represents the competence to manage tasks Level (3) represents the competence to use concepts for evaluating and reshaping tasks. The bulleted points provide examples of how the key competencies can be applied for this unit.
Communicating ideas and information (3)	• communicating verbally to interview and question relevant personnel • communicating in writing to document investigation and prepare formal report
Collecting, analysing and organising information (3)	• using research skills to investigate incidents • gathering, analysing and organising information and data gained through research and investigation
Planning and organising activities (2)	• planning investigation within own work schedule • planning and organising access to relevant personnel being interviewed
Working in a team (2)	• working with relevant personnel involved in the investigation including witnesses, workplace OHS committee or special purpose committee set up for the investigation, and possibly OHS inspectors and police
Using mathematical ideas and techniques (2)	• applying mathematical skills for calculations involved in investigations
Solving problems (3)	• identifying causes and prevention measures to minimise incidents
Using technology (2)	• using word processing software to record investigation • utilising a range of tools for OHS research
Innovation skills (2)	• identifying improvements to investigation techniques and processes • applying learning about incident investigation to future activities

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Products that could be used as evidence include:	• reports of investigations generated • statutory records – serious incident investigative reports, police reports and statements • photographic, video and other records • documentation including company records, plant operational manuals, employee training records, plant/chemical manifests or registers and maintenance records, plan of investigation process, scope and issues to be investigated • witness statements – written or taped (within confidentiality provisions) • notes of observations made in the process of documenting incident, witness reports/statements, research undertaken
Processes that could be used as evidence include:	• how initial assessment of situation was made • how scope of investigation was determined • incident analysis processes • how witness statements were taken and recorded
Resource implications for assessment include:	• access to workplace documents and situation case studies and, where possible, to situations • knowledge, skill and experience of investigative team • access to other personnel involved in investigations
Validity and sufficiency of evidence requires:	• three examples of investigation of an incident covering a range of situations with different circumstances, scope, different hazards and complexity where the candidate has played a key role. At least one example should be of a complex nature, and involve an investigation team of more than two persons and the preparation of a formal report • where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • that assessment may be through project based activity combined with simulated case study and scenario training. Where practical, at least one investigation should be of an actual situation

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Integrated competency assessment means:

- that this unit requires significant underpinning knowledge and skills that are addressed in:
  - BSBOHS501A Participate in the coordination and maintenance of a systematic approach to managing OHS, and
  - BSBOHS505A Manage hazards in the work environment, and
  - depending on the hazards associated with the incident may require knowledge and skills as addressed in BSBOHS506A Monitor and facilitate the management of hazards associated with plant
- this unit can be assessed alone or as part of an integrated assessment activity with other units, particularly:
  - BSBOHS504A Apply principles of OHS risk management
  - BSBOHS505A Manage hazards in the work environment
  - BSBOHS506A Monitor and facilitate the management of hazards associated with plant

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BSBOHS601A Develop a systematic approach to managing OHS

Unit Descriptor

This unit specifies the outcomes required to effectively design and develop a systematic approach to managing OHS, which covers the systems, documentation, strategies and plans necessary to manage OHS and its evaluation in the workplace.

Competency Field

Business management services

Domain

Occupational health and safety

Application of the Competency

This unit addresses the knowledge and skills required to effectively design and develop a systematic approach to managing OHS for a specific workplace to ensure it is, as far as practicable, safe and without risks to the health of employees and others. This may include development and implementation of an OHS Management System (OHSMS)

The unit covers analysing the workplace to clarify needs; selecting an appropriate standard; developing systematic approaches and associated documentation; and planning, supporting and monitoring the systematic approach.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Analyse the workplace to identify needs	1.1 *External motivators* for development of *systematic approaches to managing OHS* are identified in consultation with managers and other *stakeholders* 1.2 *Internal motivators* for development of systematic approaches to managing OHS are identified 1.3 *Workplace factors* that may impact on the design and development of systematic approaches to managing OHS are identified
2. Design integrated approaches to managing OHS	2.1 *Relevant standards*, codes of practice and guidance material that provide a basis for systematic approaches to managing OHS are reviewed, in consultation with managers and other *stakeholders* 2.2 *Elements of systematic approaches to managing OHS* are defined to suit the workplace in consultation with stakeholders 2.3 Elements are evaluated for compliance with *legal obligations* 2.4 Situations are identified where *OHS specialists* and *technical advisors* may be required

3. Plan and develop integrated approaches to managing OHS	3.1 *Policies and procedures* are developed to support systematic approaches to managing OHS, taking account of workplace factors
	3.2 Links with *other functional areas and management systems* are identified and incorporated
	3.3 Relevant roles and responsibilities are identified and allocated
	3.4 Training needs for the introduction and ongoing maintenance of systematic approaches to managing OHS are identified and documented
	3.5 *Resources* necessary to introduce and maintain systematic approaches to managing OHS are identified and documented
	3.6 A strategic implementation plan is developed to manage OHS
4. Support planning and implementation of integrated approaches to managing OHS	4.1 Priorities for action are determined in consultation with managers and employee representatives
	4.2 Action plans are developed with allocated responsibilities and time lines
	4.3 Advice and support are provided to managers and other *key personnel*
	4.4 Implementation is monitored, in consultation with stakeholders, to ensure practicality, compatibility with other management systems and management practices, and acceptance of systematic approaches and support of programs by all levels of the organisation
	4.5 Regular reports and feedback including recommendations for adjustment in the implementation are provided to key personnel
5. Evaluate the design and development of integrated approaches to managing OHS	5.1 The *evaluation protocol* is designed in consultation with stakeholders
	5.2 A plan is developed for collection of *information and data*
	5.3 Information and data is analysed and evaluated
	5.4 Recommendations are made for improvement in the systematic management of OHS as a result of the evaluation findings
	5.5 A report is provided to management on the outcomes of the evaluation and the recommendations for further development and improvement

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Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

External motivators may include:	• legal obligations • customer/contract demand • corporate image/reputation
A *systematic approach to managing OHS*:	• is part of the organisation's overall management system that covers developing, implementing, reviewing and maintaining the activities for managing OHS • is not a commercial package or folders on the shelf • may involve use of OHS management systems developed in the workplace to meet the OHS situation in that particular workplace
Internal motivators may include:	• injury and illness prevention (ethical) • industrial relations • financial
Workplace factors may include:	• whether certification is required • organisational structure • management commitment • management style, and OHS knowledge and skills of organisation • workplace culture, including industrial relations and safety culture • consultation and communication processes • other management systems requiring interface or integration with systematic approaches to managing OHS • resources available • nature of hazards and level of risk • staff profile including language, literacy and numeracy, cultural diversity and special needs for employees
Relevant standards may include:	• Australian standards • standards developed by OHS authorities • industry standards

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Stakeholders may include:

- managers
- supervisors
- employees
- health and safety and other employee representatives
- OHS committees

Elements of systematic approaches to managing OHS are:

- a list of key requirements or major principles that are combined in a methodical and ordered manner to minimise the risk of injury or ill health in the workplace; and for example may include:
  - processes of OHS planning
  - allocation of resources
  - communication and consultation
  - hazard management
  - record keeping and reporting
  - training and competency
  - review and evaluation for ongoing improvement of OHS

Legal obligations include those under legislation relating to:

- OHS
- equity
- workplace diversity
- privacy
- freedom of information
- trade practices
- industrial relations

OHS specialists may be internal or external and include:

- ergonomists
- occupational hygienists
- injury management advisors
- health professionals

Technical advisors may include:

- legal practitioners
- engineers (such as design, acoustic, safety, mechanical, civil)
- workplace trainers and assessors
- maintenance and trade persons

Policies and procedures may include:

- policies and procedures underpinning OHS
- purchasing and contracting procedures
- documents describing how tasks, projects, inspections, jobs and processes are to be undertaken
- standard operating procedures
- job/task statements
- quality system documentation

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Other functional areas and management systems may include:	• strategic planning • purchasing, procurement and contracting • logistics • HR, IR and personnel management, including payroll • engineering and maintenance • information, data and records management • finance and auditing • environmental management • quality management
Resources include:	• financial requirements • personnel, including time allocation • equipment • specialised resources
Key personnel are:	• those people who have a key role in OHS including managers, supervisors, OHS representatives and other functional areas
Evaluation protocol includes:	• criteria for evaluation • how the criteria will be measured • how the information and data will be collected • time period for collection of information and data
Information and data may include:	• minutes of meetings • workplace inspections • feedback from questionnaires • workshops • audit reports

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this standard must be able to provide evidence of the design and development of systematic approaches to managing OHS, either in an actual workplace, simulation exercise or scenario.

Evidence gathered for demonstration of competence will involve products developed for the design and development of systematic approaches and associated documentation; evidence of how these products were developed; and evidence of use of the products.

Specific Evidence Requirements

Required knowledge and understanding and required skills and attributes

These are detailed in the Advanced Diploma in Occupational Health and Safety knowledge and skills matrix.

Key competencies or generic skills relevant to this unit	The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit: Level (1) represents the competence to undertake tasks effectively Level (2) represents the competence to manage tasks Level (3) represents the competence to use concepts for evaluating and reshaping tasks. The bulleted points provide examples of how the key competencies can be applied for this unit.
Communicating ideas and information (3)	• communicating with organisational personnel at all levels, OHS representatives and OHS committees, OHS specialists and managers • preparing and presenting effective reports
Collecting, analysing and organising information (3)	• gathering and analysing information and data from different sources to determine needs for the design and development of systematic approaches to managing OHS
Planning and organising activities (3)	• monitoring activities associated with development of systems approaches to managing OHS • planning own activities
Working in a team (3)	• working with personnel and stakeholders at all levels of the organisation
Using mathematical ideas and techniques (2)	• applying numerical skills to information and data
Solving problems (3)	• designing and developing systematic approaches to managing OHS to suit the particular work environment
Using technology (3)	• using software systems to extract and analyse information and data for the design and development of systematic approaches to managing OHS • using software systems, including word processing and flowcharts, to document OHS and related policies and procedures
Innovation skills (3)	• identifying different ways to meet OHS requirements • applying learning about OHS systematic processes to improving the design and development of OHS management

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Products that could be used as evidence include:	• OHS systematic approaches developed • policies and procedures developed • plans and other OHS system related documents developed • specialist advice sought and obtained • documents used to inform and report to others in the organisation • emails, letters and other records of processes undertaken to design and develop the management of OHS • identified improvements in OHS as a result of review and evaluation process
Processes that could be used as evidence include:	• how OHS system(s) was designed and developed to suit organisation
Resource implications for assessment include:	• access to workplace personnel and documentation • reports from other parties consulted in designing and developing OHS systematic approaches • access to relevant legislation, standards and guidelines
Validity and sufficiency of evidence:	• recognises that assessment across a whole systematic approach to managing OHS may not be practical. The candidate should provide examples of design and development activities to suit a specific organisational context across at least four areas of an OHS system and demonstrate the role within an integrated approach to managing OHS • requires that, where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • requires that assessment may be through simulated project based activity or actual development of an OHS management system
Integrated competency assessment means:	• that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant OHS units especially BSBOHS602A Develop OHS information and data analysis and reporting and recording processes, and BSBOHS608A Conduct an OHS audit

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BSBOHS602A Develop OHS information and data analysis and reporting and recording processes

Unit Descriptor

This unit specifies the outcomes required to design and develop OHS information and data analysis, and reporting and recording processes that inform and contribute to the effectiveness of OHS in the workplace, and to evaluate the effectiveness of these processes.

Competency Field

Business management services

Domain

Occupational health and safety

Application of the Competency

The information and data system covers analysing workplace information and data in a systematic manner to ensure effective measurement and evaluation of OHS performance with the objective of improving the management of OHS. This includes informing management and other stakeholders about OHS performance and meeting legislative requirements regarding the use, distribution and maintenance of records under relevant statutory provisions.

This unit applies to a formal OHS management system or other systematic approaches to managing OHS.

This unit covers the design and development of a system of managing the collection, analysis and dissemination of OHS information and data, statistics and records, and is therefore more complex than BSBOHS502A Participate in the management of the OHS information and data systems, which addresses the management of an already developed OHS information and data system.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Identify requirements for OHS information and data	1.1 *Relevant legislation* and *standards* are reviewed to identify obligations relevant to OHS information and data
	1.2 Policies and procedures are accessed to identify requirements for OHS information and data
	1.3 Priorities for OHS information and data collection and management are determined in consultation with relevant *stakeholders*
	1.4 *Workplace factors* that may impact on the design and development of OHS information and data processes are identified
	1.5 Recommendations are made for appropriate indicators of OHS performance

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	1.6 Requirements for OHS information and data are drafted in consultation with relevant stakeholders
2. Make recommendations for the design of the OHS information and data processes	2.1 Relevant *sources* and *types of OHS information and data* are identified and accessed
	2.2 *Formats* for, and availability of, databases are investigated to identify the most appropriate format
	2.3 Legal and *ethical requirements* are addressed in recommendations
	2.4 Limits of own professional expertise are recognised and advice is sought from *relevant specialists* as required
	2.5 Specifications are prepared for the OHS information and data processes
3. Develop the OHS information and data, and reporting and recording processes	3.1 *Tools* for recording and collating information and data are identified and accessed or developed, recognising the limitations of information and data and measurement indices, and controlling for potential biases
	3.2 Links with *other functional areas and management systems* to ensure comprehensive information and data collection are identified and facilitated
	3.3 Relevant roles and responsibilities are identified and allocated
	3.4 Policies, procedures and tools are developed for the collection, collation and recording of workplace OHS information and data, taking account of workplace factors and system requirements
	3.5 Training needs for collection, collation and analysis of OHS information and data are identified and documented
	3.6 *Resources* necessary for the collection, collation, recording, analysis and distribution of OHS information and data are identified
4. Record and analyse information and data to monitor OHS performance and evaluate methods of prevention	4.1 *Descriptive and analytical techniques* for systematic evaluation of OHS performance monitoring (including *positive performance indicators*) and areas for improvement are identified and applied
	4.2 *Information and data* is accessed and applied to determine potential associations between workplace hazards and their adverse effects on exposed workers
	4.3 Information and data is recorded to assist identification of patterns of occupational injury and disease within particular areas

	4.4 Information and data collection, recording, analysis and application are managed ethically
	4.5 OHS information and data is critically evaluated to ensure accuracy, reliability, relevance and *validity*
	4.6 Outcomes of information and data analysis are appropriately formatted and disseminated, considering the target audience and legal and ethical requirements
	4.7 Appropriate strategies for improvement are identified, and recommendations are formulated as a consequence of information and data analysis
5. Monitor and evaluate the effectiveness of information and data collection and analysis processes	5.1 OHS information and data collection, recording, analysis and application processes are regularly reviewed to ensure relevance to the needs of the organisation in managing OHS and compliance with legislative requirements
	5.2 Frequency, method and scope of review are determined in consultation with stakeholders
	5.3 Recommendations are made for improvement to OHS information and data processes as required
	5.4 Improvement strategies arising from the review are implemented

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Relevant legislation includes:	• OHS, including serious injury and incident reporting • workers compensation • equity and workplace diversity • privacy • freedom of information • trade practices
Standards may include:	• standards developed by OHS authorities • National Occupational Health and Safety Commission (NOHSC) standards • international, Australian or industry standards
Stakeholders may include:	• management • supervisors • employees • OHS committees • health and safety and other employee representatives

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Workplace factors may include:

- size of organisation and industry type
- organisational structure
- management commitment
- management style and OHS knowledge and skills of organisation
- workplace culture, including industrial relations and safety culture
- other management systems requiring interface or integration with the information and data processes for OHS
- resources available
- nature of hazards and level of risk
- staff profile including language, literacy and numeracy, cultural diversity
- required level of security for OHS system, including prevention of theft and fraud; access security; prevention of interruption of services; inadvertent release of material; and information and data destruction, corruption and alteration

Relevant sources of OHS information and data may include:

- external sources such as:
  - OHS legislation, codes of practice and guidance material
  - Australian and industry standards
  - Australian Bureau of Statistics (ABS)
  - OHS authorities
  - unions and industry bodies
  - OHS professional bodies
  - internet, journals and magazines
  - technical information and data
  - research literature
  - manufacturers' manuals and specifications
  - National Occupational Health and Safety Commission (NOHSC)
- internal sources such as:
  - employees
  - OHS policies and procedures
  - work instructions, job and work system analysis (JSAs)
  - risk assessments (past and present)
  - material safety data sheets (MSDSs) and registers
  - manufacturers' manuals
  - OHS positive performance indicators
  - insurance and incident investigation records
  - workers compensation data
  - safety handbooks

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- employee information papers, brochures, notes and newsletters
- OHS reports including, workplace inspections, hazard and incident reports, technical reports, consultations and observations

Types of OHS information and data may include:

- risk management records
- OHS positive performance indicators
- incident reports, including reports on near misses, hits, incidents, injuries, first aid reports, illness, disease and dangerous occurrences
- enforcement notices and actions
- lost time reports and summaries
- sickness absence records
- workers' individual histories of exposure to specific substances, such as lead, asbestos, benzene and vinyl chloride
- medical records, including results of medical tests
- results of workplace environmental monitoring such as occupational, industrial hygiene monitoring, health screening and surveillance
- rehabilitation information, including case management
- workers compensation records
- performance appraisal and training records, including instruction and supervision logs, diaries and workbooks
- certification, registration and licensing
- reports for committees
- reports from OHS consultants
- research results
- rectification action reports and plans, inspections, plant maintenance and servicing records, and records of plant stoppages
- correspondence with agencies
- reports of proposed changes that may affect OHS
- safety manuals for plant and tools
- workplace procedure manuals
- registers, such as hazards, risk, hazardous substances, Dangerous Goods, MSDSs, confined spaces
- results of tests, measurements and analyses, for example noise and air
- risk assessments

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	• training records, including records of competencies to operate plant, and records of load shifting equipment and tools, such as EWP and explosive powered tools • occupational health information and data • ergonomic information and data, such as job and task analysis
Formats include:	• electronic information and data management systems, where system refers to computer software, hardware, users and other elements • paper-based systems such as cards, files, registers and spreadsheets
Ethical requirements include:	• privacy • confidentiality • access to personal records
Relevant specialists may include in-house and external OHS personnel such as:	• ergonomists • occupational hygienists • health professionals • legal practitioners • injury management advisors • emergency services personnel who may need to access hazardous substances and dangerous goods information and data • medical and first aid personnel who may need to access relevant medical records and hazardous substances information and data • information and data technology and database management support
Tools may be electronic or paper-based and include:	• registers • software for information and data recording and analysis • performance monitoring charts and checklists • handbooks • available system of backup/ archiving/ storage/disposal
Other functional areas and management systems may include:	• strategic planning • purchasing, procurement and contracting • logistics • HR, IR and personnel management including payroll • engineering and maintenance • information, data and records management • finance and auditing

- environmental management
- quality management

Resources include:

- financial requirements
- personnel, including time allocation
- equipment
- specialised resources, such as electronic information and data management system, communications media and information/data technology equipment

Descriptive and analytical techniques may include:

- statistical tests and methods such as:
  - means, standard deviation, regression analysis and percentage change
  - making comparisons using basic tests of significance
  - broad analytical studies to determine estimates of risk

Positive performance indicators are a means of:

- focusing on assessing how successfully a workplace is performing through measuring OHS processes

Information and data may include:

- organisational information and data
- industry information and data
- epidemiological studies such as:
  - descriptive studies examining who, what, where, when, why – distribution and frequency
  - analytical studies attempting to analyse cause or determinants of disease by testing a hypothesis
  - experimental or intervention approaches such as clinical and community trials
  - evaluation of particular occupational health programs

Validity is:

- a reflection of the true state of a test result and includes tests for systematic distortions such as:
  - information/data bias
  - observational bias
  - selection bias
  - confounding bias
  - recall bias

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Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence of design and development of processes for OHS information and data collection, analysis, and reporting and recording, either in an actual workplace, simulation exercise or scenario.

Evidence gathered for demonstration of competence will involve products developed for design and development of an OHS information and data system; evidence of how these products were designed and developed; and evidence of use of the products. A basic knowledge of systematic approaches to managing OHS is also required.

Specific Evidence Requirements

Required knowledge and understanding and required skills and attributes

These are detailed in the Advanced Diploma in Occupational Health and Safety knowledge and skills matrix.

Key competencies or generic skills relevant to this unit	The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit: Level (1) represents the competence to undertake tasks effectively Level (2) represents the competence to manage tasks Level (3) represents the competence to use concepts for evaluating and reshaping tasks. The bulleted points provide examples of how the key competencies can be applied for this unit.
Communicating ideas and information (3)	• communicating with organisational personnel at all levels, OHS representatives and OHS committees, OHS specialists and managers • preparing and presenting effective reports for a range of target audiences
Collecting, analysing and organising information (3)	• gathering and analysing information and data from different sources to determine needs for the design and development of the OHS information and data processes
Planning and organising activities (3)	• planning and monitoring development of OHS information and data processes • planning own activities
Working in a team (3)	• working with personnel, stakeholders and technical advisors at all levels of the organisation

Using mathematical ideas and techniques (3)	• analysing and interpreting information and data
Solving problems (3)	• designing and developing the OHS information and data processes to suit the particular work environment
Using technology (3)	• using software systems, including word processing, databases and spreadsheets – to document and analyse OHS information and data, statistics, related information and policies and procedures – to effectively manage appropriate records and statistics facilitated by electronic management systems
Innovation skills (3)	• identifying different ways to meet OHS information and data requirements • applying learning to improving the design of the OHS information and data processes within the overall systematic management of OHS
Products that could be used as evidence include:	• policies and procedures developed by the candidate • plans and other information and data-related documents developed or adapted by the candidate • specialist advice sought and obtained • examples of information and data disseminated • results of analysis and reports produced • documents used to inform and report to others in the organisation and external agencies • emails, letters and other records used to design the OHS information and data processes • identified improvements in the OHS information and data processes as a result of review and evaluation
Processes that could be used as evidence include:	• how the OHS information and data collection and analysis was designed and developed • how information and data processes were used on an ongoing basis
Resource implications for assessment include:	• access to workplace information and data • reports from other parties consulted in developing OHS information and data collection, reporting and recording, analysis and monitoring processes • access to information and databases for analysis activities • access to relevant legislation, standards and guidelines
Validity and sufficiency of evidence requires:	• that the candidate provide examples of OHS information and data design and development activities to suit a specific organisational context

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- that at least two examples should be provided under controlled conditions to demonstrate the candidate's understanding of basic statistical processes as well as the ability to use software to carry out statistical analysis
- that, where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment
- that assessment may be through simulated project based activity or actual development of an OHS information and data processes

Integrated competency assessment means:

- that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant OHS units especially BSBOHS601A Develop a systematic approach to managing OHS

BSBOHS603A Analyse and evaluate OHS risk

Unit Descriptor

This unit specifies the outcomes required to conduct a formal risk assessment comprising analysis and evaluation of OHS risk. It has been designed to be consistent with Australian Standard AS/NZS 4360: Risk management.

Competency Field

Business management services

Domain

Occupational health and safety

Application of the Competency

This unit addresses the knowledge, processes and techniques necessary to analyse and evaluate OHS risk as part of the risk management process.

OHS risk analysis involves defining the range of consequences, assessing the effectiveness of existing controls and deciding the likelihood of each consequence – and combining these in some way to obtain a level of risk. Risk evaluation is the comparison of pre-established criteria for tolerance and the subsequent ranking of risks requiring control.

The situation to be analysed and evaluated may involve a single task or a process comprising a series of tasks.

Application of this unit must be consistent with the pertinent sections of the relevant Australian Standard AS/NZS 4360: Risk management.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Define parameters of the OHS risk study	1.1 Information and data on the *hazard* identification process and the *context* of the OHS *risk* are accessed
	1.2 The *scope of the OHS risk study* is established
	1.3 The activity to be analysed is divided into logical and manageable elements
	1.4 The *method of OHS risk analysis* is defined and documented
2. Analyse the OHS risk of a task or process	2.1 The nature of the hazard including the process of injury or damage is clarified
	2.2 The need for further information such as *monitoring activities* is identified
	2.3 *Information and data about the OHS risk* are communicated to *stakeholders*
	2.4 A range of stakeholders is consulted and involved in the analysis

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	2.5	Existing *controls* are identified and their *effectiveness* evaluated, taking account of *relevant standards*
	2.6	Specific scenarios to be considered are determined
	2.7	The range of possible *consequences* from the various scenarios is determined
	2.8	The *likelihood* of the occurrence of the consequence is determined
	2.9	Steps are undertaken to ensure *comprehensive analysis of information, data and techniques*
	2.10	The OHS risks are *ranked* in order of level of risk
	2.11	*OHS specialist advisors* are consulted if required
3. Evaluate OHS risk of a task or process	3.1	Relevant legislation, codes of practice and standards are accessed and referenced
	3.2	Stakeholders are consulted in determining criteria for OHS *risk evaluation*
	3.3	Outcomes of OHS risk analysis are compared with *criteria* to identify risks requiring further risk control and risks deemed as low as reasonably achievable
	3.4	Process and outcomes of *analysis and evaluation are documented* in a manner that is accessible and facilitates understanding by the stakeholders
	3.5	Documentation of outcomes includes explanation of the legal ramifications of decision making based on risk prioritisation

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

A hazard is:	• a source or situation with a potential for harm in terms of human injury or ill health, damage to property or the environment, or a combination of these
Context includes description of:	• workplace • activities • internal and external factors that impact on OHS risk • stakeholders • level of documentation required • controls currently in place

Risk is:	• the chance of something happening that will result in injury or damage • measured in terms of consequences (injury or damage) and likelihood of the consequence
Scope of OHS risk study covers:	• why it is being done • who will use the output and for what purpose • activities, job role, area, location to be analysed
Method of OHS risk analysis:	• may be agreed by the parties or may be defined by standards or legislation
Monitoring activities may include but not be limited to:	• air monitoring • noise monitoring • medical monitoring
Information and data about the OHS risk includes:	• the outcomes of OHS risk analysis • mode(s) of action of the hazard causing injury or damage
Stakeholders include:	• managers, including boards of management • employees and their representatives • customers/users of the product or process • the community
Controls are:	• actions implementing risk management decisions, programs or policies; may involve monitoring, re-evaluation and compliance with decisions
Effectiveness of controls:	• may be determined by detailed investigation; alternatively, consideration of the hierarchy of control may be sufficient
Relevant standards include:	• legislation • codes of practice and guidance material • Australian and industry standards • current practice • current knowledge • common law duty of care
Consequence is:	• the injury or damage outcome of an event which may be expressed quantitatively or qualitatively; there may be a range of possible outcomes for a specific event or scenario
Likelihood refers to:	• the likelihood of the occurrence of the consequence; not the likelihood of the hazard or the particular scenario

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Comprehensive analysis of information and data may include:	• past records • experience with enterprise, own/other industries • published literature • research within exposed groups • engineering modelling • specialist and expert groups
Comprehensive analysis of techniques may include:	• broad consultation • multidisciplinary focus groups • structured interviews • questionnaires • processes and techniques used by specialists, such as modelling, fault tree and Hazard and Operability Studies (HazOps)
Risk ranking is:	• a process of rating risks according to their severity and likelihood; common systems are based on matrices or nomograms
OHS specialist advisors may include:	• engineers • ergonomists • occupational hygienists • safety professionals • occupational health practitioners • toxicologists • psychologists • people skilled in applying advanced risk analysis processes, such as modelling, fault tree, HazOps and Management Oversight and Risk Tree (MORT)
Risk evaluation is:	• the comparison of risk with pre-established criteria for tolerance (or as low as reasonably achievable) and the subsequent ranking of risks requiring control
Criteria for determining as low as reasonably achievable (ALARA) may be established by:	• reference to established codes and standards • consultation
Documentation of risk analysis should include:	• methods used • groups involved/consulted • description of consequences and their likelihood • information and data used in estimates • assumptions • effectiveness of existing controls • uncertainty in analysis • factors affecting level of risk

- further information/data and/or investigation required

Documentation of risk evaluation should include:

- method used to determine the criteria
- groups consulted/involved
- criteria determined
- list of risks and schedule for action
- statement of the legal ramifications of decision making based on risk prioritisation

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this standard must be able to provide evidence of OHS risk analysis and evaluation of a number of tasks as part of an OHS risk management process, either in an actual workplace, simulation exercise or scenario.

Evidence gathered for demonstration of competence will involve products developed for management of these OHS processes; evidence of how these products were developed; and evidence of use of the products.

Specific Evidence Requirements

Required knowledge and understanding and required skills and attributes

These are detailed in the Advanced Diploma in Occupational Health and Safety knowledge and skills matrix.

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks.

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (3)

- communicating with stakeholders, relevant enterprise personnel, specialists and managers in formal and informal situations
- effectively collecting information and data from employees and others for risk analysis and evaluation
- preparing and presenting effective reports

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Collecting, analysing and organising information (3)	• gathering and analysing information and data from different sources to analyse risk • accessing and applying standards including exposure standards for risk analysis and evaluation • analysing information and data to assess risk
Planning and organising activities (3)	• planning and arranging risk analysis and evaluation processes
Working in a team (3)	• working with workgroup and enterprise personnel involved in risk analysis and evaluation processes • working with specialist advisors
Using mathematical ideas and techniques (2)	• applying numerical and statistical skills required to analyse risk
Solving problems (3)	• overcoming barriers to ensure comprehensive analysis of OHS risk
Using technology (2)	• using software systems to assist in extraction, analysis and reporting of required information and data to analyse and evaluate risks • using word processing and other basic software for interpreting charts, flowcharts, graphs, and other visually presented information and data for risk analysis • using software systems for recording and filing documentation for hazard identification and risk assessment
Innovation skills (2)	• identifying improvements to data collection to minimise uncertainty • identifying improvements to risk analysis and evaluation processes • applying learning about risk analysis and evaluation assessment to managing future activities
Products that could be used as evidence include:	• documents used to inform and report to others, both in the enterprise and externally • emails, letters, and other records of processes undertaken to analyse and evaluate risk • documented reports on risk analysis and evaluation
Processes that could be used as evidence include:	• consultation processes • reports of stakeholders, specialist advisors and other parties
Resource implications for assessment include:	• access to workplace documentation • access to actual workplace(s) and stakeholder groups

	• reports from other parties consulted in conducting risk analysis and evaluation • access to relevant legislation, standards and guidelines
Validity and sufficiency of evidence requires:	• sufficiency of assessment will depend on the complexity of the task or processes that are being analysed and evaluated for risk. As a guide, the assessment should involve a minimum of three tasks • that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • that, while there should be some access to an actual workplace, part of the assessment may be through simulated project based activity, scenarios, case studies, role plays or actual development and implementation of risk assessment processes
Integrated competency assessment means:	• that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant OHS units especially those focusing on risk control, including BSBOHS604A Apply ergonomic principles to control OHS risk, and BSBOHS605A Apply occupational hygiene principles to control OHS risk

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BSBOHS604A Apply ergonomic principles to control OHS risk

Unit Descriptor

This unit specifies the outcomes required to apply ergonomic knowledge, principles and techniques to control OHS risk.

Competency Field

Business management services

Domain

Occupational health and safety

Application of the Competency

This unit addresses the principles, processes and techniques of ergonomics including the study of the interaction between people, the equipment they use and their general environment. The unit focuses on aspects of work design and work planning such as work layout, work flow, skills, individual variations and environmental factors.

The underpinning knowledge and skills required for this unit are outlined BSBOHS504A Apply principles of OHS risk management, and BSBOHS505A Manage hazards in the work environment, and include a knowledge of systematic approaches to OHS.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Assess the degree of match between people and their activities, equipment, environment and systems	1.1 The extent of human variability in the organisation is identified 1.2 Demands placed on people in the organisation by their activities, equipment, environment and systems are determined 1.3 People's capacity to interact optimally with their activities, equipment, environment and systems is determined 1.4 The match between people and their activities, equipment, environment and systems is determined 1.5 *Specialist advisors* and relevant *stakeholders* are identified for *sources of information and data*, and consulted during the assessment process
2. Design ergonomic interventions to enhance the match between people and their activities, equipment, environment and systems	2.1 *Ergonomic interventions* in the design process to optimise the match between people and their activities, equipment, environment and systems are identified 2.2 The work environment is designed to optimise the match between people, their activities, equipment, environment and systems

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	2.3 *Tools and databases* are used to assess tasks and designs to minimise risk
	2.4 Recommendations are made to optimise the integration of controls and displays into the decision making processes within the work system
3. Implement ergonomic interventions to enhance the match between people and their activities, equipment, environment and systems	3.1 Advice on the impact of *legislation, codes of practice and standards* on the selection and implementation of ergonomic interventions is provided
	3.2 *Key personnel,* stakeholders and users are consulted when developing, selecting and implementing ergonomic interventions
	3.3 Links are made with *other functional areas and management systems*
	3.4 Implementation of the agreed intervention is facilitated
	3.5 Training needs are identified and documented
	3.6 *Resources* necessary to introduce and maintain the agreed interventions are identified and documented
	3.7 The outcomes of ergonomic assessments and interventions are reported to key personnel and stakeholders
4. Evaluate ergonomic interventions	4.1 Quality and outcomes of ergonomic interventions are evaluated in consultation with stakeholders and users
	4.2 Modification of interventions is facilitated as required as a result of the evaluation findings
	4.3 Recommendations are made regarding future interventions as a result of the evaluation

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Specialists advisors may include:

- specialist ergonomists
- occupational hygienists
- engineers (such as design, acoustic, safety, mechanical, civil)
- health professionals
- legal practitioners
- designers
- manufacturers and suppliers

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Stakeholders may include:

- managers
- supervisors
- employees
- health and safety and other employee representatives
- OHS committees

Sources of information and data may include:

- external sources such as:
  - state and territory OHS regulatory bodies
  - National Occupational Health and Safety Commission (NOHSC)
  - relevant state or territory OHS legislation and codes of practice
  - international and Australian standards
  - National Plant and Certification Standards and associated guidance material
  - professional associations such as Ergonomics Society of Australia, Safety Institute of Australia, Institute of Engineers Australia, Design Institute of Australia and Building Design Professionals
  - employer groups, unions and industry bodies
  - OHS professionals, including those involved in safety engineering, occupational hygiene, occupational health, injury management, toxicology, ergonomics and epidemiology
- internal sources such as:
  - manufacturers' manuals and specifications
  - purchasing, contract and tendering procedures
  - hazard, incident and investigation reports
  - enforcement notices and actions
  - workplace inspections
  - minutes of meetings
  - reports
  - audits, questionnaires and surveys
  - job and task statements
  - documents describing how tasks, projects. inspections, jobs and processes are undertaken
  - employees

Ergonomics interventions may include:

- design of tools
- design of workplaces
- design of products
- design of equipment
- design of work systems, processes or organisation including work flow, planning and control
- job design

	• development of new decision making processes • new forms and organisations of work
Tools and databases may include but are not limited to:	• engineering models • Australian and international standards • Australian and international anthropometric databases
Legislation, codes of practice and standards may include:	• current Commonwealth and relevant state/territory OHS legislation, regulations, codes of practice, associated standards and guidance material • workers compensation • privacy legislation • contract law • trade practices • criminal law • common law • industrial relations law • equal employment opportunity and anti-discrimination law • Australian and international standards
Key personnel include:	• managers involved in OHS decision making or who may be impacted by decisions
Other functional areas and management systems may include:	• strategic planning • purchasing, procurement and contracting • logistics • HR, IR and personnel management including payroll • engineering and maintenance • information and records management • finance and auditing • environmental management • quality management
Resources may include:	• financial requirements • personnel, including time allocation • equipment • specialised resources such as electronic management systems, communications media and information/data technology equipment

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Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this standard must be able to provide evidence of application of ergonomic interventions to control OHS risk in work design processes and the work environment generally. This unit can be assessed in an actual workplace, simulation exercise or scenario.

Evidence gathered for demonstration of competence will involve products developed for application of knowledge and skill in ergonomic interventions; evidence of how these products were developed; and evidence of use of the products.

Specific Evidence Requirements

Required knowledge and understanding and required skills and attributes

These are detailed in the Advanced Diploma in Occupational Health and Safety knowledge and skills matrix.

Key competencies or generic skills relevant to this unit	The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit: Level (1) represents the competence to undertake tasks effectively Level (2) represents the competence to manage tasks Level (3) represents the competence to use concepts for evaluating and reshaping tasks. The bulleted points provide examples of how the key competencies can be applied for this unit.
Communicating ideas and information (3)	• communicating with organisation personnel at all levels, OHS representatives and OHS committees, OHS specialists and managers • preparing and presenting effective reports
Collecting, analysing and organising information (3)	• gathering information and data from different sources about ergonomic hazards and to control risks • analysing external and internal information and data gathered for risk control
Planning and organising activities (3)	• planning and developing ergonomic implementation activities • planning own activities
Working in a team (3)	• working with personnel at all levels of the organisation

Using mathematical ideas and techniques (3)	• applying numerical skills when interpreting information and data for the design and development of ergonomic interventions
Solving problems (3)	• developing risk control strategies
Using technology (3)	• using software systems to extract, analyse and report on required information and data to control risk • developing documentation for ergonomics tools using word processing and software for charting and other visual information and data • using software systems for recording and filing documentation associated with ergonomic activities • using technology such as the internet to find guidance, legal and other material
Innovation skills (3)	• identifying improvements to work design and organisation • applying learning about ergonomic activities to develop improved practices in the future
Products that could be used as evidence include:	• documents, reports, policies, procedures, standard operating procedures used to inform and report to others in the enterprise • emails, letters and other records of processes undertaken to apply effective ergonomic interventions
Processes that could be used as evidence include:	• how ergonomics knowledge, skills and techniques were applied in the organisation
Resource implications for assessment include:	• access to workplace • reports from other parties consulted in developing ergonomic interventions • access to relevant legislation, standards, guidelines and information and data
Validity and sufficiency of evidence requires:	• at least three examples of the application of ergonomic principles to control risk activities undertaken by the candidate • that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • that assessment may be through simulated project based activity or actual development of an ergonomics intervention program(s)

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Integrated competency assessment means

- that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant OHS related units, such as BSBOHS601A Develop a systematic approach to managing OHS, and BSBOHS607A Advise on application of safe design principles to control OHS risk

BSBOHS605A Apply occupational hygiene principles to control OHS risk

Unit Descriptor

This unit specifies the outcomes required for the application of occupational hygiene knowledge and the techniques to control OHS risk arising from health hazards at work.

Competency Field

Business management services

Domain

Occupational health and safety

Application of the Competency

The unit provides for the application of occupational hygiene knowledge, skills and techniques to identify and assess the real or potential occurrence of chemical, physical or biological agents and other workplace stressors (including their interactions) that may affect the health or wellbeing of workers or others, and the recommendations for controls of such hazards.

Other useful skills that support this unit are addressed in BSBOHS406A Use equipment to conduct workplace monitoring.

The underpinning knowledge and skills required for this unit are outlined BSBOHS504A Apply principles of OHS risk management, and BSBOHS505A Manage hazards in the work environment, and include a knowledge of systematic approaches to managing OHS.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Identify health hazards that may result from features of the workplace or working environment	1.1 *Workplace factors* that may affect the health of workers are identified 1.2 Health *hazards* that may result from work processes, work operations, equipment and work procedures are identified 1.3 Possible routes of entry to the body and consequent effects on the body are identified for different workplace factors 1.4 Situations are identified where *OHS specialists* and *other advisors* may be required
2. Analyse the risks of worker exposure to potentially harmful agents and factors	2.1 *Sources of exposure* and *related factors* to potentially harmful agents and factors in work processes and methods are determined 2.2 Equipment, sampling plan and techniques for assessing the exposure to selected agents and factors within a workplace are identified

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	2.3	Monitoring and sampling results to provide an assessment of exposure are interpreted and evaluated
	2.4	*Exposure standards* are utilised in the assessment of risks
	2.5	Workplace measurements, interpretations and recommendations are reported to stakeholders in a suitable format for target group
3. Design risk control strategies and advise on implementation	3.1	The *hierarchy of control* is applied to design risk control strategies, noting that *personal protective equipment* is regarded as the least satisfactory control measure
	3.2	Inadequacies in existing control measures are identified and remedial advice is provided
	3.3	Effective consultation and collaboration is undertaken with organisation, affected employees and others when developing, selecting and implementing risk control measures
	3.4	*External sources of information and data* and specialist advisors are accessed as required on nature of health hazard, level of risk, and risk control options
4. Monitor and evaluate control strategies to minimise workplace exposures	4.1	Quality and outcomes of interventions are monitored and evaluated regularly in consultation with stakeholders and relevant employees
	4.2	Modifications to interventions are facilitated including consultations, as required, as a result of findings of regular evaluation and monitoring
	4.3	*Training needs* are identified in consultation with workplace stakeholders, documented and arranged if required
	4.4	Recommendations are made regarding future interventions as a result of evaluation and monitoring

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Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects, which require elaboration are identified by the use of italics in the Performance Criteria.

Workplace factors may include:

- chemical agents such as:
  - solids, liquids, gases, hazardous or non hazardous substances and toxins, vapours, dusts, mists, fibres
  - chemical hazards occurring through airborne exposure and through skin contact
  - other chemical contaminants arising through direct use or as by-product contaminants
- physical agents such as:
  - noise, vibration, pressure, light, thermal
  - ionising and non-ionising radiation
- biological agents such as:
  - viruses
  - bacteria
  - zoonoses
  - animals
  - animal products
  - plants and plant products
  - allergens that may induce asthma, dermatitis etc
- ergonomic factors such as:
  - body position in relation to use of equipment or controls/awkward postures
  - harmful repetitive work
- psychosocial factors such as:
  - exposure to harmful/psychological stress at work such as work demand, environment

A hazard is:

- a source or situation with a potential for harm in terms of human injury or ill health, damage to property or the environment, or a combination of these

OHS specialists may include:

- specialist occupational hygienists
- ergonomists
- internal and external OHS professionals
- occupational health advisors
- allied health
- toxicologists
- injury management and return to work advisors

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Other advisors may include:
- equipment manufacturers and suppliers
- substance manufacturers, importers and suppliers
- engineers (ventilation, mechanical, chemical, electrical)

Sources of exposure may include:
- substances/products created or generated by work processes, for example fume, carbon monoxide and dust
- noise etc. produced by plant and machinery
- working with animals and animal products
- needle stick exposures
- occupationally related contact

Related factors may include:
- synergistic/potentiation effects (increased effect of multiple exposures) compared with antagonistic effects (lessening effects of two or more substances than the effect of each in isolation)
- dose related impacts

Exposure standards are:
- established concentrations of substances that are given as guidance in assessing the risk of exposure
- may be state, national and/or international publications

Hierarchy of control means developing risk controls within the following priority order:
- eliminate hazards
- and where this is not practicable, minimise risk by:
  - substitution
  - isolating the hazard from personnel
  - using engineering controls
  - using administrative controls (e.g. procedures, training)
  - using personal protective equipment (PPE)

Personal protective equipment (PPE) is:
- equipment designed to be worn by a person to provide protection from hazards, and may include:
  - head protection
  - face and eye protection
  - respiratory protection
  - hearing protection
  - hand protection
  - clothing and footwear

External sources of information and data include:

- state and territory OHS regulatory bodies
- National Occupational Health and Safety Commission (NOHSC)
- Australian standards, national codes of practice, guidance notes
- engineers
- external OHS professionals and specialists
- Commonwealth Scientific and Industrial Research Organisation (CSIRO)
- National Health and Medical Research Council (NHMRC)
- union and employer associations
- academic institutions, centres of research and libraries
- Workplace Exposure Standards (WES)
- material safety data sheets (MSDSs)
- American Conference of Governmental Industrial Hygienists (ACGIH)
- OHS professional associations
- databases such as NICNAS (National Industrial Chemicals Notification and Assessment Scheme)
- manufacturers' manuals and specifications

Training needs may include:

- legislative requirements
- risks associated with specific tasks
- methods of minimising exposure
- interpretation of information and data contained in material safety data sheets (MSDS), technical documents or brochures about substances, tools, equipment and plant
- workplace housekeeping
- personal hygiene
- maintenance of equipment, tools and plant to ensure effective performance of control systems
- requirements for health monitoring of use of certain workplace hazardous substances such as lead
- correct selection, use, servicing, storage and disposal of PPE

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Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this standard must be able to provide evidence of application of health and hygiene interventions to control OHS risk in the work environment. This unit can be assessed in an actual workplace, simulation exercise or scenario.

Evidence gathered for demonstration of competence will involve products developed for application of occupational hygiene interventions, evidence of how these products were developed and evidence of use of the products.

Specific Evidence Requirements

Required knowledge and understanding and required skills and attributes

These are detailed in the Advanced Diploma in Occupational Health and Safety knowledge and skills matrix.

Key competencies or generic skills relevant to this unit	The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit: Level (1) represents the competence to undertake tasks effectively Level (2) represents the competence to manage tasks Level (3) represents the competence to use concepts for evaluating and reshaping tasks. The bulleted points provide examples of how the key competencies can be applied for this unit.
Communicating ideas and information (3)	• communicating with relevant organisational personnel at all levels, OHS specialists and managers • preparing and presenting effective reports for a range of target audiences
Collecting, analysing and organising information (3)	• gathering and analysing information and data from different sources to identify hazards, analyse risks and develop control strategies
Planning and organising activities (3)	• planning and developing occupational hygiene interventions • planning and organising own activities
Working in a team (3)	• working with personnel at all levels of the organisation
Using mathematical ideas and techniques (3)	• applying numerical skills when interpreting information and data

Solving problems (3)	• developing risk control strategies and overcoming barriers
Using technology (3)	• using software systems to extract, analyse and report on required information and data relating to chemical, physical or biological agents and other workplace stressors • developing documentation for tools using word processing and software for charting and presentation of other visual information and data associated with occupational hygiene programs • using software systems for recording and filing documentation
Innovation skills (3)	• identifying improvements to occupational hygiene interventions • applying learning about occupational hygiene to develop improved practices in the future
Products that could be used as evidence include:	• reports of sampling and monitoring activities including analyses and interpretation of results • documents and reports used to inform and report to others in the organisation • emails, letters and other records of processes undertaken to apply knowledge of occupational hygiene to risk control strategies
Processes that could be used as evidence include:	• how occupational hygiene knowledge, skills and techniques were applied in the workplace
Resource implications for assessment include:	• access to workplace for identification and measurement activities • access to relevant legislation, standards and guidelines
Validity and sufficiency of evidence requires:	• at least three examples of the application of occupational hygiene principles to control OHS risk undertaken by the candidate • that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • that assessment may be through simulated project based activity or actual development of an occupational hygiene intervention program(s)

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Integrated competency assessment means:

- that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant OHS related units, particularly BSBOHS601A Develop a systematic approach to managing OHS

BSBOHS606A Develop and implement crisis management processes

Unit Descriptor

This unit specifies the outcomes required to develop and implement the planning and management to prevent or mitigate the OHS outcomes of a crisis. The focus is on the development of a number of management processes including emergency assessments, plans and preparation, analysis, monitoring, training and post incident support.

Competency Field

Business management services

Domain

Occupational health and safety

Application of the Competency

This unit addresses knowledge, processes and techniques necessary for development and implementation of crisis planning where a 'crisis' is defined as an event with a potentially high consequence outcome in terms of personal injury or damage.

Emergency preparedness and management is an important part of crisis management in that it addresses the elements of technical and tactical response. Crisis management involves a number of steps including threat analysis, crisis planning and crisis containment.

Useful underpinning knowledge and skills for the OHS practitioner that support this unit are available from units BSBOHS404A Contribute to the implementation of strategies to control OHS risk, BSBOHS405A Contribute to the implementation of emergency procedures, and BSBOHS504A Apply principles of OHS risk management.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Identify sources of risk	1.1 The *organisational context* for *crisis* management is established
	1.2 The *environment* is investigated to identify *sources of risk, elements at risk* and *vulnerability*
	1.3 Relevant key personnel, appropriate *specialist advisors* and *emergency response agencies* are identified and consulted in the identification of sources of risk
	1.4 An *emergency sources of risk register* is developed
2. Analyse and evaluate sources of risk	2.1 *Sources of information and data* on risk and vulnerability are accessed within the context of existing control measures to *characterise* the risk

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	2.2	Appropriate specialist advisors and agencies are identified and consulted in the analysis and evaluation of sources of risk
	2.3	Risks are evaluated and prioritised for action
3. Advise on requirements for crisis management	3.1	*Crisis management plan* is developed and *documented*
	3.2	Equipment needs are identified and documented
	3.3	Emergency communication requirements and processes for internal and external *stakeholders* and *resources* are identified and documented
	3.4	Liaison and communication processes with emergency response agencies and other external stakeholders are identified and documented
	3.5	*Training needs* are identified and documented
4. Monitor and report on the effectiveness of crisis management	4.1	Crisis management is regularly *audited and reviewed* and actions are developed and implemented
	4.2	Emergency response equipment is routinely checked for currency and functionality
	4.3	Status of crisis management, including emergency response processes, is reported to management on a regular basis
5. Participate in the emergency control organisation	5.1	The *emergency control organisation* is structured and acts to minimise consequences
	5.2	Own role in the emergency control organisation is known and implemented during an emergency
	5.3	Appropriate liaison is undertaken with internal personnel and external agencies
6. Advise and support key personnel in the post response/recovery phase to minimise consequences	6.1	Recovery phase procedures focus on minimising consequences to the people involved, the environment and the organisation
	6.2	*External support and resource services* are identified and accessed as appropriate to assist recovery phase
	6.3	Debriefing is conducted including key personnel and external agencies as appropriate
	6.4	Debriefing process identifies areas requiring further attention
	6.5	Appropriate *reports* are disseminated internally and to relevant external agencies

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Organisational context may include:	• legislation under which the organisation operates • arrangements or industry/community partnerships • hazards to which the organisation is exposed • operating environment which may be influenced by political, industrial or other internal or external factors
Crises may include:	• serious injury events • emergencies requiring evacuation • fires and explosions • hazardous substance spills • explosion and bomb scares • security emergencies such as armed robberies, intruders and disturbed persons • internal emergencies such as loss of power or water supply • external emergencies such as flood, storm and traffic accident impacting on organisation
Environment may include:	• conditions or influences that are part of, surround or interact with the organisation. It includes: - built environment (buildings and other assets) - physical environment (natural environment including topography, water bodies and vegetation) - social environment (including people interactions, internal and external politics, economic and culture)
Sources of risk has been termed 'hazards' in other units but the language of emergency management uses 'sources of risk' to indicate a broader application and may include:	• natural hazards and or disasters • technological hazards (failure of technology) • biological hazards • civil/political hazards including civil/political unrest, terrorism, sabotage, civil unrest and hostage • management activities and controls including deficiencies in areas of non compliance with internal management systems, legislation, and agreements/contracts

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Elements at risk may be anything valued by the organisation and may include:	• people • assets • environment • commercial reputation and goodwill • quality of life
Vulnerability is:	• the degree of susceptibility and resilience of the organisation and the environment to the risk. It is influenced by the characteristics of the organisation in terms of its capacity to anticipate, cope with and recover from the crisis
Specialist advisors may:	• include advisors in emergency management, evacuation, fire, security and safety • use advanced techniques such as Hazard and Operability Studies (HazOp), Management Oversight and Risk Tree (MORT), computer modelling and scenario analysis
Emergency response agencies may include:	• fire, police, ambulance, State Emergency Services (SES), government departments, and OHS authorities
An emergency sources of risk register should include:	• comprehensive list of events or conditions to be evaluated, their location, together with a range of possible scenarios or circumstances under which a crisis may occur • crisis risk management documentation such as risk assessments
Sources of information and data may include:	• inspection and incident records • enforcement notices and actions • organisational records and files • research literature • international and national standards, codes of practice and guidelines • material safety data sheets (MSDSs) • specialist advisors
Characteristics of risk may include:	• significant features of the sources of risk such as: - likelihood - intensity - speed of onset - duration - area affected - perceptions of severity - impact, taking account of the coping capacity of the organisation

Crisis management plan is a flexible document that can cope with a broad range of crisis types and:	• is approved at the highest levels of the organisation • focuses on management control • identifies responsibilities for decision making • details communication and support processes • addresses arrangements with any contractors or shared tenancy • integrates the emergency response plans as well as recovery • incorporates dealing with external agencies and support • addresses planning for recovery before crisis occurs
Documentation for crisis management plan may include:	• policy, emergency response structure, initial response instructions for various roles/areas, responsibility and authority of individual roles, warning systems, training requirements, resource inventory for response and recovery, program review and monitoring processes; and • crisis risk management documentation, such as risk management team lists, communications strategies, identification of issues, risk assessments/evaluations, vulnerability profiles, risk registers and treatment strategies
Stakeholders may include:	• internal stakeholders such as the board of management, managers, employees (and their families), contractors, visitors and others on site • external stakeholders such as local community (directly or via the media), representatives of special interest groups, insurance agencies, OHS regulators, local government and other relevant statutory bodies
Resources may include:	• personnel and equipment • community support agencies
Training needs should:	• specifically address the needs of each role within the crisis management team as well as all levels of the organisation • address knowledge requirements as well as practical application and include workshops, desktop exercises and full scale exercises
Audit and review should include examination of factors including:	• ongoing relevance of emergency and crisis plans considering likelihood and consequences of risks • ability of the organisation to respond considering factors such as: - available resources - effectiveness of training, knowledge and skills of key personnel

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Emergency control organisation is:	• a structured group within the organisation that includes roles such as emergency controller, communications recorder, media liaison and employee support personnel
External support and resource services may include:	• agencies such as Red Cross, government health departments, State Emergency Service and local government • counselling services • local, non-official sources • community liaison and reference groups • union and employer associations
Reports may include:	• objectives • information sources • assumptions • decisions and recommendations for action • responsibility and resources • evaluation of preparedness • previous reports, records and registers

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this standard must be able to provide evidence of developing and implementing crisis management processes, either in an actual workplace, simulation exercise or scenario.

Evidence gathered for demonstration of competence will involve products developed for implementing crisis management plans, as well as evidence of how these products were developed, and evidence of use of the products.

Specific Evidence Requirements

Required knowledge and understanding and required skills and attributes

These are detailed in the Advanced Diploma in Occupational Health and Safety knowledge and skills matrix.

Key competencies or generic skills relevant to this unit	The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit: Level (1) represents the competence to undertake tasks effectively Level (2) represents the competence to manage tasks Level (3) represents the competence to use concepts for evaluating and reshaping tasks. The bulleted points provide examples of how the key competencies can be applied for this unit.
Communicating ideas and information (3)	• conducting focus groups and workshops • communicating with enterprise personnel, specialists and managers • preparing and presenting effective reports
Collecting, analysing and organising information (3)	• gathering and analysing information and data from a range of sources to evaluate and control emergency risks
Planning and organising activities (2)	• planning and arranging crisis management procedures including training • holding informal and formal consultations
Working in a team (3)	• working with organisational personnel, specialist advisors, community reference groups and agencies involved in emergency management, planning crisis management and associated risk management procedures
Using mathematical ideas and techniques (2)	• applying numerical skills to analyse risk and determine likelihood and consequence
Solving problems (3)	• developing crisis management strategies during planning, emergency and recovery phases
Using technology (2)	• using software systems to extract, analyse and report on required information and data on crisis management • developing documentation for planning tools using word processing and software for charting and other visual presentation • using software systems for recording and filing documentation involved in crisis management processes

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Innovation skills (2)	• applying learning about crisis management to develop improved practices in the future • identifying and applying innovation and improvements to crisis management plans
Products that could be used as evidence include:	• risk register, risk matrix • emails, letters, reports and other documents used to inform others in the organisation and external stakeholders and agencies • policies, plans and procedures
Processes that could be used as evidence include:	• reports of other parties, specialist advisors and agencies contacted as part of the planning processes • workshops, meetings, training sessions and debriefing activities • consultations with external agencies and groups
Resource implications for assessment include:	• access to workplace documentation • access scenario resources • frequency and timing of training and planning emergency rehearsals
Validity and sufficiency of evidence requires:	• that evidence should be collected over a range of activities that address the planning as well response in an actual or simulated emergency and recovery • that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • that assessment may be through project based activity combined with simulated case study and scenario training
Integrated competency assessment means:	• that this unit can be assessed alone or as part of an integrated assessment activity. It is particularly suited to integrated assessment with one or more of the risk management units, strategic management units or OHS units such as BSBOHS603A Analyse and evaluate OHS risk

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BSBOHS607A Advise on application of safe design principles to control OHS risk

Unit Descriptor

This unit specifies the knowledge and skills required of the occupational health and safety (OHS) practitioner to advise on applying safe design principles to control OHS risk during a product's life cycle.

Competency Field

Business management services

Domain

Occupational health and safety

Application of the Competency

The central feature of safe design is the application of relevant information and data about human capabilities and behaviour to the design of objects, facilities, procedures and environments that people use.

Units BSBOHS504A Apply principles of OHS risk management, and BSBOHS505A Manage hazards in the work environment, provide useful underpinning knowledge and skills for this unit. Knowledge of systematic approaches to managing OHS also underpins this unit.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Advise on the OHS requirements of the design process	1.1 Organisation *decision makers* are made aware of their responsibility for the safety of downstream users and beneficiaries
	1.2 Decision makers are advised of their obligation under law to *design* and supply a safe designed product by eliminating OHS *hazards* and controlling for *residual OHS risk*
	1.3 OHS is promoted within the design requirements and includes an overall risk evaluation of the designed product's life cycle
	1.4 The most current knowledge of OHS principles, materials, technology and systems is sourced and made available for application in the design of the product
	1.5 Required education and training to enable decision makers to have the necessary skills and knowledge to identify and eliminate OHS hazards, and to control OHS risk in the design phase, is identified and made available
	1.6 Relevant *sources of information and data* are identified and accessed, in particular equipment users

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	1.7 Potential users of the equipment are consulted during the design phase
	1.8 Situations are identified where *specialist advisors* may be required
2. Develop a systematic hazard identification and OHS risk evaluation system for safe design	2.1 OHS hazards are identified and associated *risks* are *analysed* across the *life cycle* of the designed product
	2.2 A systematic analysis of the *likelihood* and *consequences* of injury or illness arising from exposure to identified OHS hazards guides the selection and implementation of the most appropriate OHS risk controls for the designed product
	2.3 Hazard identification and risk analysis includes potential alterations to the designed product during its life
	2.4 Decision making during the *OHS risk evaluation* process is *documented* and made accessible to all parties
	2.5 A residual *risk register* is established, recording OHS hazards not eliminated in the design together with possible control strategies, and distributed to those involved in the downstream or subsequent life cycle stages
	2.6 The design is monitored as it evolves to identify potential new OHS hazards and to manage risks if they become evident
3. Advise on principles of OHS risk control	3.1 Design to minimise risk is based on the *hierarchy of control*
	3.2 The designed product includes *fail-to-safe action* to minimise the impact of possible failure or defect
4. Advise on consultation processes between people involved in the life cycle of the designed product	4.1 Decision makers are advised to consider the range of people who will use or interact with the designed product
	4.2 Consultation between all *parties* is arranged during the concept and detailed design phases to identify and eliminate OHS hazards and minimise risk
	4.3 Residual OHS risk in the designed product is communicated appropriately to those who will use or interact with the designed product throughout its life cycle

5. Advise on contractual arrangements and procurement systems to minimise 'purchased' OHS risk	5.1 Decision makers involved in *purchasing and contractual arrangements* are advised to include a requirement to eliminate OHS hazards, minimise OHS risks, and provide information and data on residual OHS risk
	5.2 The *design brief or draft specifications* include an agreement to carry out a *Safe Design* approach

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects, which require elaboration are identified by the use of italics in the Performance Criteria.

Decision makers may include:	• any party with influence over the specifications of the designed product including but not limited to the designer, client or commissioning agent, financier, manufacturer, supplier, purchaser, installer, user, insurer, importer, erector, maintainer and regulator, and employees of these agents
Design:	• is the process of bringing together innovation, aesthetics and functionality to plan and create a product, process or system to meet the artistic, industrial or performance requirement of an individual or group; and • involves a series of activities where an idea is conceived, shaped, developed, produced and then acted upon to produce a designed product; and • includes any subsequent alteration of a designed product such as redesign or retrofit
A hazard is:	• a source or situation with a potential for harm in terms of human injury or ill health, damage to property or the environment, or a combination of these
Residual OHS risk is:	• that risk that is unable to be designed out of the product
Sources of information and data may include:	• international and Australian standards, codes of practice and guidance material • industry advisory bodies • government and other advisory bodies such as CSIRO, National Health and Medical Research Council, National Occupational Health and Safety Commission (NOHSC), Australian Consumers Association • Commonwealth, state and territory OHS and other regulatory bodies • research literature

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- NOHSC National Standard for Manual Handling, code of practice and associated guidance material
- Australian and international anthropometric databases
- professional associations such as Ergonomics Society of Australia, Institute of Engineers Australia, Safety Institute of Australia
- employer groups and unions

Specialist advisors may include:

- engineers (such as design, acoustic, safety, mechanical, chemical, civil)
- architects, interior designers and builders
- design professionals
- drafts people, quantity surveyors and surveyors
- building surveyors and certifiers
- occupational hygienists
- specialist ergonomists
- health professionals
- legal practitioners
- insurers
- technical professionals
- maintenance and trades personnel
- manufacturers
- suppliers and distributors
- workplace trainers and assessors

Risk is:

- the chance of something happening that will result in injury or damage
- measured in terms of consequences (injury or damage) and likelihood of the consequence

Risk analysis involves:

- defining the range of consequences
- assessing the effectiveness of existing controls
- deciding the likelihood of each consequence
- combining these is some way to obtain a level of risk

Life cycle of the product includes:

- design, construction/manufacture, supply/installation, use, maintenance/servicing, decommissioning/dismantling and disposal
- life cycle cost considerations may also include environmental clean up and redesign/retrofit

Likelihood refers to:

- the probability of an event occurring

Consequence refers to:	• the injury or damage outcome of an event which may be expressed quantitatively or qualitatively; it should include an estimate of cost of injury or ill health
OHS risk evaluation involves:	• comparison of risk with pre-established criteria for tolerance (or as low as reasonably achievable) and the subsequent ranking of risks requiring control
Documentation of risk evaluation should include:	• methods used • groups involved/consulted • description of consequences and their likelihood • information and data used in estimates • assumptions • effectiveness of existing controls • uncertainty in analysis • factors affecting level of risk • further information and data, and investigation required
A risk register is:	• a list of the risks including: - scenarios or circumstances under which damage or injury may occur - possible consequences or outcomes in terms of injury or damage - an indication of the likelihood of the consequence(s) occurring
Hierarchy of control means developing risk controls within the following priority order:	• eliminate the hazard • and where this is not practicable, minimise risk by: - substitution - isolating the hazard from personnel - using engineering controls - using administrative controls (eg procedures, training) - using personal protective equipment (PPE)
Fail-to-safe action ensures:	• that if there is a failure or defect in the product or another factor such as loss of power, then the product is left in a safe condition
Parties for consultation may include:	• user • manufacturer • designer • builder • importer • supplier and/or distributor

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	• installer • maintenance agencies • contractors • commissioning agent • disposer
Purchasing and contractual arrangements may include:	• specifications • statement of work • supplier pre-qualification • tender documentation • purchase order
Design brief or draft specifications may include:	• form or outline of document for design brief • instructions • technical requirements or specifications for a designed product, structure, item, systems or process
Safe Design is:	• a design process that eliminates hazards or minimises potential risk to health and safety by involving decision makers, and considers OHS risks throughout the life cycle of the designed product • a Safe Design approach will generate a design option that eliminates OHS hazards or minimises the risks to those that make the product and those that use it

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this standard must be able to provide evidence of application of OHS risk controls within a collaborative safe design process, either in an actual workplace, simulation exercise or scenario.

Evidence gathered for demonstration of competence will involve products developed for effective application of knowledge and skill in applying OHS risk controls in a safe design process; evidence of how these products were developed; and evidence of use of the products.

Specific Evidence Requirements

Required knowledge and understanding and required skills and attributes

These are detailed in the Advanced Diploma in Occupational Health and Safety knowledge and skills matrix.

Key competencies or generic skills relevant to this unit	The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit: Level (1) represents the competence to undertake tasks effectively Level (2) represents the competence to manage tasks Level (3) represents the competence to use concepts for evaluating and reshaping tasks. The bulleted points provide examples of how the key competencies can be applied for this unit.
Communicating ideas and information (3)	• communicating with decision makers, the design team, organisation personnel, specialists and managers • communicating with stakeholders including OHS representatives and OHS committees, managers and also OHS specialists • making verbal presentations as part of the briefing/education process of the design team • preparing and presenting effective reports
Collecting, analysing and organising information (3)	• gathering and analysing information and data from different sources about use of products to identify hazards, evaluate risk and design practicable OHS risk controls • developing and using effective risk management techniques
Planning and organising activities (3)	• researching safe design systems, workplace procedures and other relevant interactions • undertaking consultation and communication processes as required • planning own activities
Working in a team (3)	• working with all levels of organisational personnel and specialist advisors involved in risk management procedures for safe design
Using mathematical ideas and techniques (3)	• interpreting information and data • using quantitative analysis to determine likelihood and consequences of OHS risk in designed products
Solving problems (3)	• developing risk control strategies

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	• identifying and applying innovation and improvements to ensure safe and practical designed products • applying learning about safe design to develop improved safe design management practices
Using technology (3)	• using technology to extract, analyse and report on required information and data for systematic OHS risk evaluation of designed products • using software systems for recording and reporting documentation involved in the life cycle of designed product
Innovation skills (3)	• identifying improvements to safe design processes • applying learning about safe design principles to develop systems for improvements in the life cycle of designed product
Products that could be used as evidence include:	• documents, reports, policies, procedures • risk register • emails, letters and other records of processes undertaken to apply safe design principles • policies, plans and procedures
Processes that could be used as evidence include:	• how knowledge, skills and techniques of safe design principles were applied in the organisation • reports of other parties, specialist advisors and agencies contacted as part of safe design processes • workshops, meetings, training sessions and debriefing activities • consultation activities
Resource implications for assessment include:	• access to design workgroup or process • reports from other parties consulted in developing appropriate interactions between people involved in the life cycle of the designed product • access to relevant legislation, standards and guidelines, research or industry data • access to workplace documentation
Validity and sufficiency of evidence requires:	• examples of sufficient depth and scope to address the range of the competency. This may be achieved by one project where the learner is involved in the complete design process; however, there may be a need for a number of examples to address the full range of competency

- that, where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment
- that assessment may be through a simulated project based activity or actual involvement with a specific safe design management practice

Integrated competency assessment means:

- that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant OHS related units:
  - this unit may be assessed as part of assessment of units BSBOHS603A Analyse and evaluate OHS risk, and/or BSBOHS604A Apply ergonomic principles to control OHS risk

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BSBOHS608A Conduct an OHS audit

Unit Descriptor

This unit specifies the outcomes required to conduct an internal or external OHS audit that may or may not be part of certification against a recognised benchmark.

It involves systematic examination against audit criteria to determine conformance with planned arrangements and the effectiveness of the organisation's approaches to managing OHS.

Competency Field

Business management services

Domain

Occupational health and safety

Application of the Competency

This unit covers the conduct of an OHS audit including developing an audit plan and tools to gather OHS information and data, ensuring client/management liaison and briefing, arranging access to information, setting up entry and exit meetings, and coordinating evaluation/audit and audit team against time lines and the submission of reports.

This unit does not cover the evaluation that is an integral part of an OHS audit. Those knowledge and skills are addressed in unit BSBOHS609A Evaluate an organisation's OHS performance. People having responsibility for an OHS audit will require competence in both units BSBOHS608A Conduct an OHS audit, and BSBOHS609A Evaluate an organisation's OHS performance.

This unit applies to the auditing of systematic approaches to managing OHS, which may or may not be formalised as part of an OHS management system, and can apply to internal or external benchmarks. The scope and benchmark criteria for the audit will be agreed before the commencement of OHS information and data gathering and may address all areas of the organisation or an identified function, business or geographical area.

An OHS audit may be conducted by an individual or by a team and may be concurrent with other management system audits or conducted as a stand-alone-exercise.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Plan an OHS audit	1.1 The scope, objectives and *benchmark* of the audit are defined
	1.2 *Relevant documentation* such as preliminary material on the operation of the organisation is identified and obtained
	1.3 *Resources* required to conduct the audit are identified and arranged

	1.4	Timing, schedule and responsibilities for the audit are assigned
2. Develop an OHS audit plan	2.1	Nature of *information and data collected* provides valid and reliable evidence of the *systematic approach to managing OHS* and risk controls within the context of the organisation
	2.2	Sources of evidence include *key personnel and stakeholders*
	2.3	Information and data collection strategies address issues of security, confidentiality, impartiality and equity
	2.4	Information and data collection strategies include opportunities for corroborating evidence
	2.5	The *audit plan* is developed, documented and submitted to client
	2.6	The audit plan is modified as a result of client input and to adapt to contingencies
3. Develop an OHS audit tool	3.1	*Audit tool(s)* accurately reflect the criteria of the benchmark, nature of risks and identified relevant information and data types
	3.2	Audit tools focus on evaluation of performance of the OHS management processes
	3.3	Audit tools can be used with consistent outcomes by all members of the audit team
	3.4	Audit tools enable collection of evidence in a timely and efficient manner
	3.5	Audit tools are modified as a result of preliminary trial(s)
4. Gather information, data and OHS records	4.1	A broad range of workplace personnel are consulted during evidence gathering activities throughout the audit
	4.2	Types and sources of evidence gathered are compared with the audit plan, and reasons for discrepancies are identified
	4.3	*Alternative methods* are identified and utilised when evidence is not forthcoming, using planned methods
	4.4	Information and data reliability is checked with a number of sources
5. Undertake OHS audit activities	5.1	*Preliminary evaluation* is undertaken
	5.2	Audit plan is re-submitted to client for comment as appropriate

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	5.3	Issues concerning the audit plan are negotiated with the client and documents amended where required
	5.4	Initial meetings and worksite familiarisation are undertaken
	5.5	Progress of the audit plan is monitored with the client and/or audit team members to ensure resources are being used as planned, and that the audit objectives and audit time lines are being achieved
	5.6	Records of evidence and findings are progressively documented in an appropriate format and retained
	5.7	Hazards identified during the audit are reported promptly to the appropriate person(s), including supervisor and/or person in control of the workplace
	5.8	Own health and safety is addressed during the audit in accordance with organisational requirements and standards for safe work practices
	5.9	Information and data collection and evaluation activities comply with legal requirements and are carried out ethically
	5.10	Exit meetings with key personnel and stakeholders are undertaken as appropriate
6. Report on the outcomes of the OHS audit	6.1	Summary audit findings and recommendations are presented to the clients at the *closing meeting*, after consultation with key personnel and stakeholders
	6.2	Results of the evaluation are compared against the audit criteria
	6.3	*Objective evidence* is presented with clear and concise findings, including benefits to be achieved by adoption of the audit report recommendations
	6.4	Where challenges to the report are anticipated, further explanations to promote acceptance are prepared
	6.5	Corrective action and *follow-up processes* are recommended to the client

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Benchmark may include:	• Australian or international standards • standards developed by OHS authorities • industry standards • standards developed internally by the organisation or by commercial organisations
Relevant documentation may include*:*	• OHS legislation, codes of practice and guidance material • industry standards • organisational documents
Resources may include:	• specialist personnel • equipment
Information and data collected may be in hard copy or electronic and may include:	• management system documentation including policies and procedures, position descriptions and duty statements • operational documentation including completed forms, schedules, checklists, log books, minutes of meetings, action plans, maintenance reports and health surveillance records • claims, legal reports, complaints, hazard logs and incident and injury reports, enforcement notices and actions • reports and management reviews • previous management system reports and industry risk profiles • interviews with management, supervisors, work groups, employees and other parties across a range of levels and roles including health and safety representatives, OHS committee members and design personnel and contractors, where appropriate • observations in the workplace, work operations and records • training materials and records • for surveillance audits, information and data should include changes since last audit such as new equipment, processes, products, substances or projects

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A systemic approach to managing OHS involves:

- a comprehensive set of processes that are combined in a methodical and ordered manner to minimise the risk of injury or ill health in the workplace; and for example may include:
  - processes of OHS planning
  - allocation of resources
  - communication and consultation
  - hazard management
  - record keeping and reporting
  - training and competency
  - and review and evaluation for ongoing OHS improvement

Key personnel and stakeholders may include:

- management, persons in control of the workplace, supervisors
- employees and other parties across a range of levels and roles including health and safety representatives, OHS committee members, design personnel and, where appropriate, contractors
- customers/clients

Audit plan includes:

- scope of audit
- personnel involved
- time lines
- meetings to be scheduled, people to be interviewed
- locations to be inspected
- information and data required to be on hand
- sampling methodology including statistical measures

Audit tools:

- are the instruments for collecting evidence and conducting the analysis and evaluation (they are not the same as the audit criteria or benchmark); they may be:
  - developed specifically for the purpose
  - adapted from existing tools
  - purchased or accessed from existing tools
- and include:
  - performance checklists
  - sets of questions to be asked
  - descriptions of required characteristics to be checked
  - limitations for and instructions for use

Alternative methods may involve:

- interviewing
- alternate sampling methodologies
- discussion groups
- surveys

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	• observation • alternative information and data • modified audit checklists • how evidence deficiencies will be addressed
Preliminary evaluation may include:	• off-site consultations • reviews of relevant organisational documentation, information and data
Audit *closing meetings* are:	• usually conducted within an agreed period after the client has viewed the written report
Objective evidence may be defined as:	• information and data obtained through observation, measurement, tests or other means
Follow-up processes usually comprise:	• an agreed meeting date with the client organisation, following sufficient time for implementation of corrective actions; and may include: – checks of the rigour of original audit findings – verification of effectiveness of recommendations and control action(s), particularly in correction of non-compliance(s) – provision of new non-conformance report(s) if required

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this standard must be able to provide evidence that they have the knowledge and skills to conduct an internal or external OHS audit. They must ensure that the underpinning knowledge of hazard identification, risk assessment and OHS risk management approaches are reflected in the audit tool(s) and the methods used for collecting evidence. This unit may be assessed in an actual workplace or simulation exercise.

Evidence gathered for demonstration of competence will involve products developed for the design and development of audit plans, tools, associated documentation and the systematic examination against defined criteria to determine conformance to planned arrangements; evidence of how these products were developed; and evidence of use of the products.

Specific Evidence Requirements

Required knowledge and understanding and required skills and attributes

These are detailed in the Advanced Diploma in Occupational Health and Safety knowledge and skills matrix.

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Key competencies or generic skills relevant to this unit	The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit: Level (1) represents the competence to undertake tasks effectively Level (2) represents the competence to manage tasks Level (3) represents the competence to use concepts for evaluating and reshaping tasks. The bulleted points provide examples of how the key competencies can be applied for this unit.
Communicating ideas and information (3)	• communicating with stakeholders including OHS representatives and OHS committees, managers and other organisational personnel • communicating in writing, including documenting audit plans, developing audit tools and recording information and data gathered • making presentations as part of the audit briefing process • preparing and presenting effective reports
Collecting, analysing and organising information (2)	• gathering and analysing information and data from a variety of sources and using a variety of methods of collection
Planning and organising activities (2)	• planning and organising audit processes • undertaking consultation and communication processes during the conduct of OHS audits • planning own activities
Working in a team (3)	• working across all levels of the organisation • working in audit team(s) as appropriate
Using mathematical ideas and techniques (2)	• using calculations involved in analysis of information and data
Solving problems (2)	• developing alternative methods of information and data collection where evidence is not forthcoming using planned methods • identifying and applying knowledge to highlight what OHS activities require attention or solution
Using technology (2)	• using technology to extract, analyse and generate reports on required information and data for auditing the systematic management of OHS • using software for document production, collation and analysis of information and data • accessing electronic information and data
Innovation skills (2)	• applying improvements to auditing procedures to enable audits of quality and depth • applying learning about auditing to improve practices in the future

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Products that could be used as evidence include:	• management system documentation including completed forms, schedules, checklists, log books, minutes of meetings and action plans • information and data collected during audits • claims, legal actions, complaints, hazard logs, incident and accident reports • audit tools used in process • audit plans • audit reports and audit follow-up
Processes that could be used as evidence include:	• how audit was planned, including selection of audit category, methodology and standard • how audit tool was developed, or basis for selection from available tools • how information and data were gathered and analysed • how reliability of information and data was checked
Resource implications for assessment include:	• access to organisation documentation, information and data • access to workplace, including personnel involved in areas audited
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • that at least three audits are undertaken where the candidate has taken a major role in coordination and information and data collection; one audit must have a broad scope • assessment may be through simulated project based activity or actual case studies of individual's work in this area
Integrated competency assessment means:	• that this unit can be assessed alone or as part of an integrated assessment activity involving other OHS auditing functions, OHS risk management and OHS units: • that it is strongly recommended that this unit is assessed concurrently with unit BSBOHS609A Evaluate an organisation's OHS performance

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BSBOHS609A Evaluate an organisation's OHS performance

Unit Descriptor

This unit covers the outcomes required to make judgements as a consequence of an OHS audit and to evaluate an organisation's arrangements for identifying hazards, assessing and controlling risks, and monitoring and improving the effectiveness of the management of OHS and compliance against agreed benchmarks.

Competency Field

Business management services

Domain

Occupational health and safety

Application of the Competency

This unit focuses on evaluation of the effectiveness of an organisation's management of OHS. Aspects of the integration with other organisational management systems, the appropriateness of participative arrangements and OHS improvements are some components of the evaluation. The scope may cover OHS performance measures and outcomes, strategies, policies, programs, procedures and the organisation's resources.

This unit applies to the auditing of systematic approaches to managing OHS, which may or may not be formalised as part of an OHS management system, and can apply to internal or external benchmarks. The scope and benchmark criteria for the OHS audit will be agreed before the commencement of information and data gathering, and may address all areas of the organisation or an identified function, business or geographical area.

Achievement of this competency requires a demonstrated knowledge of the requirements to evaluate the OHS management system (OHSMS) that is in place. An OHSMS is that part of the organisation's overall management system that, for example, covers developing, implementing, reviewing and maintaining the activities for managing OHS risks. Thus, an OHSMS is one systematic approach to managing OHS.

This unit is a companion unit to BSBOHS608A Conduct an OHS audit, which together address the knowledge and skills required to conduct an OHS audit and to evaluate an organisation's OHS performance. People aspiring to skills for overall responsibility of an OHS audit will require competence in both units.

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Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Evaluate effectiveness of systematic approaches to identifying OHS hazards	1.1 Workplace *hazard* identification activities being undertaken are identified and compared with organisational policies and procedures 1.2 Products, processes and systems are examined to determine whether *hazards of long latency* and *low frequency/high consequence* are included and minimised 1.3 Products, processes and systems are examined to determine whether *risks* to '*persons other than employees'* are identified and minimised 1.4 *Organisational factors* that impact on OHS are identified 1.5 Outcomes of the evidence gathering are reviewed with *specialist personnel*, if required
2. Evaluate the effectiveness of systematic approaches to OHS risk management	2.1 Appropriateness of the organisation's risk assessment tool(s) and processes are evaluated 2.2 Outcomes of the risk assessment process are assessed for validity, reliability and inclusion of all major OHS risks, in particular demonstrated use of risk assessment methods in the organisation 2.3 Risk controls are evaluated for suitability and effectiveness in relation to the organisation's systematic management of OHS
3. Evaluate the effectiveness of systematic OHS monitoring processes	3.1 The scope of organisational processes to monitor the implementation and status of systematic approaches to managing OHS is evaluated 3.2 The quality of information and data obtained from the monitoring processes is evaluated 3.3 The managerial level of response to the issues raised in the monitoring process is evaluated in relation to the level of risk
4. Assess whether the OHS management approaches have produced improved performance	4.1 Performance indicators (including *positive performance indicators*) are evaluated to determine whether they provide a true, reliable and timely measure of the effectiveness of the OHS management approaches to reducing OHS risk 4.2 Reported performance is compared with evidence gathered, and differences are documented 4.3 Outcomes of evaluation of performance are documented in a clear and objective manner

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5. Assess and advise on organisational OHS compliance against agreed benchmarks	5.1 Systematic analysis is undertaken to identify areas of OHS compliance and non-compliance with *benchmarks*
	5.2 Advice on the impact of legislation and standards on the selection, suitability and implementation of a range of OHS performance interventions is provided
	5.3 Outcomes of evaluation of compliance are documented and reported to *key personnel and stakeholders*

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

A hazard is:	• a source or situation with a potential for harm in terms of human injury or ill health, damage to property or the environment, or a combination of these
Hazards of long latency include:	• conditions, illnesses and other health risks that result from longer term exposure to specific triggers such as chemicals, noise, radiation and psychosocial factors
Low frequency/high consequence hazards are:	• high impact events that occur rarely such as explosions, fires and building collapses but may result in very serious injury, death or multiple death situations
A risk is:	• the chance of something occurring that will result in injury or damage • measured in terms of consequences (injury or damage) and likelihood of the consequence
'Persons other than employees' may include:	• neighbourhood or local community members • contractors • visitors to premises • customers/clients
Organisational factors may include:	• geographical spread of sites; roster and shift arrangements; supervision structure; participatory arrangements; authority and reporting structure; work force structure such as labour hire, contractors, part-time and casual workers; cultural diversity • workplace culture including industrial relations and safety culture

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	• other management systems requiring interface or integration with management of OHS • nature of hazards and level of risk
Specialist personnel may include:	• external consultants specialising in specific areas of OHS such as safety engineering, ergonomics, hygiene, toxicology, psychology, occupational health • specialist staff within government agencies offering assistance in specialist or problem areas within OHS
Positive performance indicators are a means of*:*	• focusing on assessing how successfully a workplace is performing through measuring OHS processes
Benchmarks may include:	• specific legislation • OHS management system standards • industry specific standards • organisation's business plan
Key personnel and stakeholders may include:	• boards of management and shareholders • management, persons in control of the workplace, supervisors • employees and other parties across a range of levels and roles including health and safety representatives and OHS committee members • customers/clients

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence of making judgements about the effectiveness of the OHS management processes and management systems, of using appropriate evaluation methodologies, and of applying underpinning knowledge of OHS risk, the concepts of OHS management systems and principles of OHS risk management and risk control to those judgements.

Evidence gathered for demonstration of competence will involve products developed for the evaluation of OHS management systems and reporting the effectiveness of OHS performance against benchmarks; evidence of how these products were developed; and evidence of use of the products.

Specific Evidence Requirements

Required knowledge and understanding and required skills and attributes

These are detailed in the Advanced Diploma in Occupational Health and Safety knowledge and skills matrix.

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Key competencies or generic skills relevant to this unit	The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit: Level (1) represents the competence to undertake tasks effectively Level (2) represents the competence to manage tasks Level (3) represents the competence to use concepts for evaluating and reshaping tasks. The bulleted points provide examples of how the key competencies can be applied for this unit.
Communicating ideas and information (3)	• communicating and consulting with relevant stakeholders in relation to evaluation processes • communicating to document analysis and reporting of outcomes of evaluation • communicating to access and interpret relevant documentation
Collecting, analysing and organising information (3)	• gathering and analysing information and data from different sources to inform evaluation • developing and using analytical skills to assess adequacy of information and data gathered for evaluation process
Planning and organising activities (3)	• planning and managing processes for evaluation • planning own activities associated with audit and evaluations
Working in a team (3)	• working with audit team members, managers and supervisors across all levels of the organisation
Using mathematical ideas and techniques (3)	• using calculations involved in analysis of information and data
Solving problems (2)	• evaluating problems arising associated with auditing and evaluation processes • identifying and applying knowledge of OHS performance measurement to learn new ways of approaching OHS • providing advice on OHS performance
Using technology (2)	• using software for document production, collation and analysis of information and data • using technology to extract, analyse and generate reports on required information and data for evaluating performance of the systematic management of OHS
Innovation skills (2)	• applying improvements to audit and evaluation procedures to ensure quality audits • applying learning about auditing and evaluation to improve practices in the future

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Products that could be used as evidence include:	• documented evaluation report(s) • documents made during analysis of information and data collected for evaluation • recommendations arising from evaluation(s)
Processes that could be used as evidence include:	• how evaluation methodology was chosen and implemented • how information and data were gathered to inform evaluation • how the effectiveness of components of OHS management processes were assessed • how standards and benchmarks were determined for appropriateness to the evaluation • how outcomes of evaluation were reported for action
Resource implications for assessment include:	• access to organisational documentation • access to workplace
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • that at least three audits are undertaken where the candidate has taken a major role in the evaluation; one audit must have a broad scope • that at least part of the evaluation must be directly observed by the assessor • assessment may be through actual case studies of individual's work in this area
Integrated competency assessment means:	• that this unit can be assessed alone or as part of an integrated assessment activity involving other OHS auditing functions and OHS risk management units • it is strongly recommended that this unit is assessed concurrently with unit BSBOHS608A Conduct an OHS audit

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Evidence Matrix for Competencies BSBOHS401A – BSBOHS406A; BSBCMN421A

Required Knowledge and Understanding

The matrix below details the required knowledge and understanding for the units of competency in the Certificate IV in Occupational Health and Safety. When developing learning or assessment activities the breadth and depth of the required knowledge should be determined taking account of the context set by the elements and performance criteria. Ticks in the box for different units do NOT necessarily imply that the same level of knowledge is required for each unit. For example, it does NOT imply that the same level of knowledge of legal roles and responsibilities applies at unit BSBOHS401A as in unit BSBOHS601A.

Specific Evidence Requirements	BSBOHS401A	BSBOHS402A	BSBOHS403A	BSBOHS404A	BSBOHS405A	BSBOHS406A	BSBCMN421A
Roles & responsibilities under OHS legislation of employees supervisors, contractors, designers, etc	✓		✓	✓			✓
Legislative requirements for OHS information and data and consultation	✓	✓	✓	✓			✓
Roles and responsibilities in relation to communication and consultation for OHS committees, OHS representatives, line management, employees and inspectors	✓	✓					✓
Requirements for record keeping that addresses OHS, privacy and other relevant legislation	✓	✓	✓	✓		✓	✓
Requirements for reporting under OHS and other relevant legislation including obligations for notification and reporting of incidents	✓	✓				✓	✓
State/territory/Commonwealth OHS legislation (acts, regulations, codes of practice, associated standards & guidance material) including prescriptive & performance approaches and links to other relevant legislation such as IR, equal employment opportunity, workers compensation, rehabilitation etc	✓	✓	✓	✓	✓	✓	✓
Structure and forms of legislation including regulations, codes of practice, associated standards and guidance material							✓
Difference between common law and statutory law							✓
Concept of common law duty of care							✓
Methods of providing evidence of compliance with OHS legislation							✓
Concept of the use of tools such as positive performance indicators (PPIs) in assessment of OHS performance	✓						
Difference between hazard and risk			✓	✓			
Risk as a measure of uncertainty and the factors that affect risk			✓	✓			
Requirements under hazard specific OHS legislation and codes of practice			✓	✓		✓	
Basic principles of incident causation and injury processes			✓	✓			
Characteristics, mode of action and units of measurement of major hazard types			✓	✓		✓	

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Specific Evidence Requirements	BSBOHS401A	BSBOHS402A	BSBOHS403A	BSBOHS404A	BSBOHS405A	BSBOHS406A	BSBCMN421A
Basic physiology relevant to understanding mode of action of physical, biological and chemical agents on the body and how they produce discomfort or harm			✓			✓	
Hierarchy of control and considerations for choosing between different control measures, such as possible inadequacies of particular control measures	✓		✓	✓			
Standard industry controls for a range of hazards				✓			
Requirements for individual fitting, use, maintenance and storage of a range of PPE items				✓		✓	
Types of hazard identification tools, including JSA			✓				
Limitations of generic hazard and risk checklists and risk ranking processes			✓	✓			
Environmental conditions that impact measurements						✓	
Sampling techniques and developing valid sampling process						✓	
Mathematical knowledge of units of measurement, logarithmic scales, decimals and order of magnitude relevant to making and interpreting measurements and measurement error						✓	
Exposure standards, their limitations and their practical use						✓	
Types of and techniques for correct us of intrinsically safe measuring & monitoring equipment including calibration, adjustment & maintenance, alarms and limitations on use and output						✓	
Requirements for work permits/written authorities when conducting workplace monitoring activities						✓	
Principles and practices of systematic approaches to managing OHS	✓		✓	✓			✓
Internal and external sources of OHS information and data	✓	✓	✓	✓	✓		
Benefits and limitations and use a range of communication strategies & tools appropriate to the workplace	✓	✓					
How the characteristics and composition of the workforce impact on risk and the systematic approach to managing OHS e.g. • labour market changes • structure and organisation of workforce e.g. part-time, casual & contract workers, shift rosters, geographical location • language, literacy and numeracy • communication skills • cultural background/workplace diversity • gender • workers with special needs	✓	✓	✓	✓	✓		✓
Principles of effective meetings including agendas, action planning, chair/secretarial duties, minutes and action items		✓					✓
Role, responsibility and authority of emergency response personnel					✓		

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Specific Evidence Requirements	BSBOHS401A	BSBOHS402A	BSBOHS403A	BSBOHS404A	BSBOHS405A	BSBOHS406A	BSBCMN421A
Principles of building compartmentation; identification and role of smoke and fire doors					✓		
Emergency alerting systems, signals and instructions typically used in workplaces					✓		
Examples of emergency response processes typically used in workplaces, including roles and responsibilities					✓		
Priorities and limitations of workplace response to emergencies					✓		
Hazards and precautions during an emergency, including during an evacuation					✓		
Situations when evacuation is required and when evacuation is inappropriate, including circumstances where evacuation processes may need to be modified					✓		
Principles and priorities for evacuation, including checking and accounting procedures					✓		
Circumstances or actions that may block, damage or inhibit function or use of emergency equipment					✓		
Information needs of emergency response agencies at time of reporting emergency, arrival of response and during management of emergency					✓		
Method of use, including hazards and limitations, of relevant emergency equipment, including communication equipment					✓		
Principles of effective liaison with emergency service personnel including ensuring that there is no interference or hindrance to their action					✓		
Knowledge of organisational OHS policies and procedures	✓	✓	✓	✓	✓		✓
Professional liability in relation to providing advice							✓
Nature of workplace processes (including work flow, planning & control) and hazards relevant to the particular workplace	✓		✓	✓	✓	✓	
Key personnel, including identifying 'change agents', within workplace management structure	✓	✓	✓	✓	✓		✓
Formal and informal communication and consultation processes and key personnel related to communication	✓	✓	✓	✓	✓		✓
Language, literacy and cultural profile of the work group	✓	✓	✓	✓	✓		
Organisational culture as it impacts on the workgroup	✓	✓	✓	✓			
Organisational emergency procedures, including various roles of the workplace emergency personnel					✓		
Essential actions of self/ other key personnel in emergency					✓		
Location of emergency procedures, equipment and evacuation assembly areas					✓		
Public Policy basis of OHS	✓	✓					✓

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Required Skills and Attributes

Specific Evidence Requirements	BSBOHS401A	BSBOHS402A	BSBOHS403A	BSBOHS404A	BSBOHS405A	BSBOHS406A	BSBCMN421A
Ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities	✓	✓	✓	✓	✓		✓
Ability to communicate effectively with personnel at all levels of organisation and OHS specialists and, as required, emergency service personnel	✓	✓	✓	✓	✓		✓
Ability to prepare reports for a range of target groups including OHS committee, OHS representatives, managers and supervisors	✓	✓		✓		✓	✓
	Brief, summary reports						
Ability to apply continuous improvement and action planning processes	✓						
Ability to manage own tasks within time frame	✓	✓	✓	✓	✓	✓	✓
Ability to employ consultation and negotiation skills, particularly in relation to developing plans and implementing and monitoring designated actions	✓	✓		✓			
Ability to contribute to the assessment of the resources needed to systematically manage OHS and where appropriate access resources	✓	✓		✓		✓	
Ability to participate in the OHS performance of the organisation	✓						
Ability to analyse relevant workplace information and data make observations including of workplace tasks and interactions between people, their activities, equipment, environment and systems	✓	✓	✓	✓	✓	✓	✓
Ability to carry out simple arithmetical calculations (e.g. % change) produce graphs of workplace data to identify trends and recognise limitations of data	✓					✓	
Ability to use a range of communication media		✓					
Ability to conduct effective formal and informal meetings		✓					✓
Language and literacy skills appropriate to the workgroup and the task		✓				✓	
Ability to use basic computer and information technology skills to access internal and external information and data on OHS	✓		✓	✓	✓		✓
Ability to use basic measuring equipment, including reading scales and dials applicable to selected hazards						✓	
Ability to interpret results from workplace measurements						✓	
Demonstrated attention to detail when making observations and recording outcomes			✓				
Ability to maintain equipment used for workplace monitoring						✓	
Ability to recognise that health effects could be due to microbiological hazards and the need to refer to specialist advice and						✓	

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Specific Evidence Requirements	BSBOHS401A	BSBOHS402A	BSBOHS403A	BSBOHS404A	BSBOHS405A	BSBOHS406A	BSBCMN421A
support							
Ability to issue instructions in an authoritative manner during unusual circumstances					✓		
Ability to deal with conflict and contestability	✓	✓					
Ability to identify and develop links between different activity areas in the workplace	✓	✓	✓	✓			

Evidence Matrix for Competencies BSBOHS501A – BSBOHS508A

Required Knowledge and Understanding

The matrix below details the required knowledge and understanding for the units of competency in the Diploma of Occupational Health and Safety. When developing learning or assessment activities the breadth and depth of the required knowledge should be determined taking account of the context set by the elements and performance criteria. Ticks in the box for different units do NOT necessarily imply that the same level of knowledge is required for each unit. For example, it does NOT imply that the same level of knowledge of legal roles and responsibilities applies at unit BSBOHS401A as in unit BSBOHS601A.

Specific Evidence Requirements	BSBOHS501A	BSBOHS502A	BSBOHS503A	BSBOHS504A	BSBOHS505A	BSBOHS506A	BSBOHS507A	BSBOHS508A
Roles & responsibilities under OHS legislation of employees, including supervisors and contractors	✓			✓	✓	✓		✓
Legislative requirements for OHS information and data, and consultation	✓	✓	✓	✓	✓	✓		✓
Rights of OHS inspectors			✓					✓
Roles and responsibilities in relation to communication and consultation for OHS committees, OHS representatives, line management, employees and inspectors	✓	✓	✓					
Requirements for record keeping that addresses OHS, privacy & other legislation	✓	✓				✓		✓
State/territory/Commonwealth OHS legislation (acts, regulations, codes of practice, associated standards & guidance material) including prescriptive & performance approaches and links to other relevant legislation such as IR, equal employment opportunity, workers compensation, rehabilitation etc	✓	✓	✓	✓	✓	✓		✓
Structure and forms of legislation including regulations, codes of practice, associated standards and guidance material	✓	✓	✓	✓	✓	✓	✓	✓
Difference between common law and statutory law	✓	✓	✓					
Concept of common law duty of care	✓	✓	✓	✓	✓	✓		✓
Methods of providing evidence of compliance with OHS legislation		✓	✓	✓	✓	✓	✓	✓
Facilitation of the use of tools such as positive performance indicators (PPIs) in assessment of OHS performance	✓	✓						
Nature of information & data that provides valid and reliable results on performance of OHS management processes (including positive indicators, such as number of safety audits	✓	✓						

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Specific Evidence Requirements	BSBOHS501A	BSBOHS502A	BSBOHS503A	BSBOHS504A	BSBOHS505A	BSBOHS506A	BSBOHS507A	BSBOHS508A
conducted)								
Methods of collecting reliable information & data, commonly encountered problems in collection and strategies for overcoming such problems		✓						
Principles and practices of continuity and validity of evidence retention for potential legal action								✓
Requirements for reporting under OHS and other relevant legislation including notification and reporting of incidents	✓	✓						✓
Difference between hazard and risk				✓	✓	✓		
Risk as a measure of uncertainty and the factors that affect risk				✓	✓	✓		
Requirements under hazard specific OHS legislation and codes of practice				✓	✓		✓	✓
Basic principles of incident causation and injury processes				✓	✓	✓		✓
Characteristics, mode of action and units measurement of major hazard types				✓	✓			✓
Basic physiology relevant to understanding mode of action of physical, biological and chemical agents on the body and how they produce harm				✓	✓			
Basic physiology related to temperature control of the human body, hazards or working in hot environments, and appropriate controls					✓			
Principles of human behaviour and response to interactions with human, physical and task environment to identify psychosocial hazards					✓			
Hierarchy of control and considerations for choosing between different control measures, such as possible inadequacies of particular control measures	✓			✓	✓	✓	✓	✓
Standard industry controls for a range of hazards				✓	✓			✓
Types of hazard identification tools, including JSA				✓	✓			
Limitations of generic hazard and risk checklists and risk ranking processes				✓	✓			
Principles and practices of systematic approaches to managing OHS	✓			✓	✓	✓		✓
Other function areas that impact on the management of OHS	✓			✓	✓	✓		✓
Internal and external sources of OHS information and data		✓	✓	✓	✓	✓	✓	✓
Auditing methods and techniques	✓	✓						

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Specific Evidence Requirements	BSBOHS501A	BSBOHS502A	BSBOHS503A	BSBOHS504A	BSBOHS505A	BSBOHS506A	BSBOHS507A	BSBOHS508A
How the characteristics and composition of the workforce impact on risk and the systematic approach to managing OHS e.g. • labour market changes • structure and organisation of workforce e.g. part-time, casual & contract workers, shift rosters, geographical location • language, literacy and numeracy • communication skills • cultural background/workplace diversity • gender • workers with special needs	✓	✓	✓	✓	✓	✓	✓	✓
Plant specific knowledge: • roles and responsibilities of employers, employees, supervisors, contractors, designers, etc under OHS legislation • specific requirements under National Plant and Certification Standards and associated guidance material (such as [NOHSC: 1010]) • concepts of hazards arising from plant & systems of work associated with plant • hazards associated with mobile/fixed plant equipment & risk control strategies • basic physics of fluids under pressure and pressure vessels, & the behaviour of pressurised fluid when pressure is released • strategies for guarding moving parts in machinery, human factors related to machine guarding, safe design principles, features and limitations • knowledge of industry practices related to permit to work and isolation and tag out systems • registration requirements of plant, licensing and certification competencies						✓		
Benefits and limitations and use a range of communication strategies & tools appropriate to the workplace			✓					
Basic knowledge of organisational behaviour and culture as it impacts on OHS and on change	✓			✓	✓	✓	✓	
Ethics related to professional practice	✓	✓	✓	✓	✓	✓	✓	✓
Professional liability in relation to providing advice	✓	✓	✓	✓	✓	✓		
Principles of effective meetings including agendas, action planning, chair and secretarial duties, minutes and action items			✓					

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Specific Evidence Requirements	BSBOHS501A	BSBOHS502A	BSBOHS503A	BSBOHS504A	BSBOHS505A	BSBOHS506A	BSBOHS507A	BSBOHS508A
Knowledge of organisational OHS policies and procedures	✓	✓	✓	✓	✓	✓	✓	✓
Nature of workplace processes (including work flow, planning & control) and hazards relevant to the particular workplace	✓			✓	✓	✓	✓	✓
Sources of occupational disease and their prevention					✓		✓	
Basic knowledge of toxicology of hazardous materials and potential health effects in the workplace					✓		✓	
Key personnel, including identifying 'change agents', within workplace management structure	✓	✓	✓				✓	
Formal and informal communication and consultation processes and key personnel related to communication	✓		✓				✓	✓
Language, literacy and cultural profile of the workgroup	✓	✓	✓	✓	✓	✓	✓	✓
Organisational culture as it impacts on the workgroup	✓	✓	✓	✓	✓	✓	✓	✓

Required Skills and Attributes

Specific Evidence Requirements	BSBOHS501A	BSBOHS502A	BSBOHS503A	BSBOHS504A	BSBOHS505A	BSBOHS506A	BSBOHS507A	BSBOHS508A
Ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities	✓	✓	✓	✓	✓	✓	✓	✓
Ability to communicate effectively with personnel at all levels of organisation and OHS specialists and, as required, emergency service personnel	✓		✓	✓	✓	✓	✓	✓
Ability to prepare reports for a range of target groups including OHS committee, OHS representatives, managers and supervisors	✓	✓	✓	✓	✓	✓	✓	✓
	More detailed reports							Legally defensible
Ability to apply continuous improvement and action planning processes	✓	✓	✓				✓	
Ability to contribute to the strategic OHS performance of the organisation	✓	✓						
Ability to employ project management skills to achieve change	✓	✓	✓			✓		
Ability to manage own tasks within time frame	✓	✓	✓	✓	✓	✓	✓	✓

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Specific Evidence Requirements	BSBOHS501A	BSBOHS502A	BSBOHS503A	BSBOHS504A	BSBOHS505A	BSBOHS506A	BSBOHS507A	BSBOHS508A
Ability to employ consultation and negotiation skills, particularly in relation to developing plans and implementing and monitoring designated actions	✓	✓	✓	✓	✓	✓	✓	✓
Ability to contribute to the assessment of the resources needed to systematically manage OHS and, where appropriate, access resources	✓	✓		✓	✓	✓	✓	
Ability to analyse relevant workplace information and data, and make observations including of workplace tasks and interactions between people, their activities, equipment, environment and systems	✓	✓		✓	✓	✓	✓	✓
Ability to carry out simple arithmetical calculations (e.g. % change), and produce graphs of workplace information and data to identify trends and recognise limitations	✓	✓		✓	✓	✓	✓	
Ability to use electronic systems to enter workplace information and data and produce effective graphical representations		✓						
Ability to interpret information and data to identify areas for improvement	✓			✓	✓	✓		
Ability to use a range of communication media		✓	✓					
Ability to conduct effective formal and informal meetings	✓		✓					
Ability to use information and data gathering techniques such as brainstorming, polling, interviews								
Ability to use language and literacy skills appropriate to the workgroup and the task		✓	✓	✓	✓	✓	✓	✓
Ability to use basic computer and information technology skills to access internal and external information and data on OHS	✓	✓		✓	✓	✓	✓	✓
Ability to undertake basic research to access relevant information and data			✓	✓				
Ability to use basic measuring equipment including reading scales and dials applicable to selected hazards					✓			
Ability to interpret results from workplace measurements					✓			
Demonstrated attention to detail when making observations and recording outcomes				✓	✓	✓		✓

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Evidence Matrix for Competencies BSBOHS601A – BSBOHS609A

Required Knowledge and Understanding

The matrix below details the required knowledge and understanding for the units of competency in the Advanced Diploma of Occupational Health and Safety. When developing learning or assessment activities the breadth and depth of the required knowledge should be determined taking account of the context set by the elements and performance criteria. Ticks in the box for different units do NOT necessarily imply that the same level of knowledge is required for each unit. For example, it does NOT imply that the same level of knowledge of legal roles and responsibilities applies at unit BSBOHS401A as in unit BSBOHS601A.

Specific Evidence Requirements	BSBOHS601A	BSBOHS602A	BSBOHS603A	BSBOHS604A	BSBOHS605A	BSBOHS606A	BSBOHS607A	BSBOHS608A	BSBOHS609A
Roles & responsibilities under OHS legislation of employees including supervisors, contractors, OHS inspectors etc	✓	✓	✓	✓	✓	✓	✓	✓	✓
Responsibilities of designers etc under OHS legislation							✓		✓
Principles of duty of care including concepts of causation, foreseeability, preventability	✓	✓	✓	✓	✓	✓	✓		✓
Legislative requirements for OHS information and data, and consultation	✓	✓	✓	✓	✓	✓	✓	✓	✓
Roles and responsibilities in relation to communication and consultation for OHS committees, OHS representatives, line management, employees and inspectors	✓	✓	✓		✓	✓			✓
State/territory/Commonwealth OHS legislation (acts, regulations, codes of practice, associated standards & guidance material) including prescriptive & performance approaches and links to other relevant legislation such as IR, equal employment opportunity, workers compensation, rehabilitation etc	✓	✓	✓					✓	✓
Structure and forms of legislation including regulations, codes of practice, associated standards and guidance material	✓	✓	✓					✓	✓
Difference between common law and statutory law	✓	✓						✓	✓
Concept of common law duty of care	✓	✓						✓	✓

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Specific Evidence Requirements	BSBOHS601A	BSBOHS602A	BSBOHS603A	BSBOHS604A	BSBOHS605A	BSBOHS606A	BSBOHS607A	BSBOHS608A	BSBOHS609A
Requirements for record keeping that address OHS, privacy and other relevant legislation	✓	✓						✓	✓
Requirements of effective records management systems including collection, filing, retention, retrieval, archiving and disposal		✓							
Standards related to OHS information and data, statistics and records management including requirements for information and data under elements of systematically managing OHS		✓						✓	✓
Examples of OHS information and data management systems and tools		✓							
Nature and use of information and data that provides valid and reliable results on performance of OHS management processes (including positive performance indicators (PPIs) and limitations of other types of measures	✓	✓						✓	✓
Development of tools such as PPIs in assessment of OHS performance	✓	✓						✓	✓
Methods of collecting reliable information and data, commonly encountered problems in collection, and strategies for overcoming such problems		✓						✓	✓
Principles and practices of continuity and validity of evidence retention for potential legal action		✓							
Requirements for reporting under OHS and other relevant legislation including notification and reporting of incidents	✓	✓							✓
Difference between hazard and risk			✓	✓	✓		✓		✓
Risk as a measure of uncertainty and the factors that affect risk			✓	✓	✓		✓		✓
Requirements under hazard-specific OHS legislation and codes of practice				✓	✓		✓	✓	✓
Principles of incident causation and injury processes	✓		✓				✓	✓	✓
Characteristics, mode of action and units of measurement of major hazard types				✓	✓				✓
Characteristics of sound and vibration, units of noise, sound pressure levels, noise dose and process of hearing loss					✓				

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Specific Evidence Requirements	BSBOHS601A	BSBOHS602A	BSBOHS603A	BSBOHS604A	BSBOHS605A	BSBOHS606A	BSBOHS607A	BSBOHS608A	BSBOHS609A
Different categories of chemicals such as dangerous goods, hazardous substances, poisons, carcinogens etc					✓				
Types of hazardous dusts and fibres, hazardous environments and the possible explosion and ill health outcomes from exposure to dusts, particulates etc					✓				
The effect of electricity on the body and the difference in action of fuses/circuit breakers and resident current devices					✓				
Difference between ionising and non ionising radiation and the principles of decay, the effect of radiation on the body					✓				
Physiology relevant to understanding mode of action of physical, biological and chemical agents on the body and how they produce harm					✓				
Physiology related to temperature control of the human body, hazards of working in hot environments, and appropriate controls					✓				
Physiology and functional anatomy relevant to identifying and controlling ergonomic hazards				✓					
Human error and implications for design of equipment, work practices and controlling ergonomic hazards				✓			✓		
The basics of anthropometry and biomechanics				✓			✓		
Basic human cognitive and perceptual capabilities relevant to the design of human–machine interfaces				✓			✓		
Risk factors for manual handling injury and risk assessment techniques for manual handling				✓			✓		
Principles of human behaviour and response to interactions with human, physical and task environment to identify psychosocial hazards			✓	✓			✓		✓
Direct and indirect influences that impact on OHS and the environment in the design of product(s)				✓	✓		✓		

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Specific Evidence Requirements	BSBOHS601A	BSBOHS602A	BSBOHS603A	BSBOHS604A	BSBOHS605A	BSBOHS606A	BSBOHS607A	BSBOHS608A	BSBOHS609A
Interdependent relationships between ergonomics and workplace stressors such as psychosocial factors, occupational violence, shiftwork, repetitive work, awkward postures, lighting, thermal environment and work layout				✓			✓		
Hierarchy of control and considerations for choosing between different control measures, such as possible inadequacies of particular control measures	✓			✓	✓		✓	✓	✓
Knowledge of a range of risk analysis/assessment techniques & tools and the application and limitations of those techniques & tools			✓				✓		✓
Standard industry controls for a range of hazards			✓	✓	✓		✓	✓	✓
Strategies for minimising risk through application of ergonomic design and engineering, work layout, work processes, work organisation				✓			✓		
The role of control programs for microbiological hazards such as vaccination, local ventilation, decontamination					✓				
Requirements for individual fitting, use, maintenance and storage of a range of PPE items					✓				
Requirements for selection and limitations of use of a range of PPE items					✓				
Types of hazard identification tools including JSA			✓	✓	✓		✓		✓
Limitations of generic hazard and risk checklists and risk ranking processes			✓	✓	✓			✓	✓
Pertinent sections of relevant Australian and other standards such as AS/NZS 4360: Risk management, National Standard for the Storage and Handling Workplace Dangerous Goods [NOHSC: 1015] and National Standard for Manual Handling [NOHSC: 1001]			✓	✓	✓		✓		

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Specific Evidence Requirements	BSBOHS601A	BSBOHS602A	BSBOHS603A	BSBOHS604A	BSBOHS605A	BSBOHS606A	BSBOHS607A	BSBOHS608A	BSBOHS609A
Types of measurement and monitoring equipment, including intrinsically safe equipment, calibration requirements and principles of how the equipment takes the measurement and limitations in use					✓	✓			
Requirements for control of work permits/written authorities in workplace monitoring activities			✓		✓				
Mathematical knowledge of units of measurement, logarithmic scales, decimals and order of magnitude relevant to making and interpreting measurements					✓				
Exposure standards, their limitations and their practical use					✓				
Sampling methodologies, application and related statistical measures					✓			✓	✓
Principles and practices of a systematic approach to managing OHS	✓	✓	✓	✓	✓		✓	✓	✓
Range of risk analysis/assessment techniques and tools and their application and limitations			✓				✓		✓
Requirements of OHS and standards related to systematically managing OHS	✓	✓	✓					✓	✓
Other function areas that impact on the management of OHS	✓	✓	✓	✓	✓			✓	✓
Internal and external sources of OHS information and data	✓	✓	✓	✓	✓		✓	✓	✓
How the characteristics and composition of the workforce impact on risk and the systematic approach to managing OHS e.g. • labour market changes • structure and organisation of workforce e.g. part-time, casual & contract workers, shift rosters, geographical location • language, literacy and numeracy • communication skills • cultural background/workplace diversity • gender • workers with special needs	✓	✓	✓	✓	✓	✓	✓	✓	✓
Auditing methods and techniques								✓	✓
Benefits, limitations and use of a range of communication strategies & tools			✓					✓	✓

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Specific Evidence Requirements	BSBOHS601A	BSBOHS602A	BSBOHS603A	BSBOHS604A	BSBOHS605A	BSBOHS606A	BSBOHS607A	BSBOHS608A	BSBOHS609A
appropriate to the workplace									
Organisational behaviour and culture as it impacts on OHS and on change	✓		✓	✓	✓	✓	✓	✓	✓
Ethics related to professional practice	✓	✓	✓	✓	✓	✓	✓	✓	✓
Methods of providing evidence of compliance with OHS legislation	✓							✓	✓
Professional liability in relation to providing advice	✓						✓	✓	✓
Principles of effective meetings including agendas, action planning, chair and secretarial duties, minutes and action items	✓					✓		✓	✓
Emergency-specific requirements under relevant legislation, codes of practice and standards including hazardous substances, dangerous goods and environment protection						✓			
Elements of a comprehensive crisis management program (Prevention, Preparedness, Response and Recovery, PPRR)						✓			
Relevant state and national emergency response structures e.g. Hazmat						✓			
Role, responsibility and authority of emergency response personnel						✓			
Principles of building compartmentation; identification and role of smoke and fire doors						✓			
Emergency alerting systems, signals and instructions typically used in workplaces						✓			
Examples of emergency response processes typically used in workplaces including roles and responsibilities						✓			
Priorities and limitations of workplace response to emergencies						✓			
Hazards and precautions during an emergency including during an evacuation						✓			
Situations when evacuation is required and when evacuation is inappropriate, including circumstances where evacuation processes may need to be modified						✓			
Principles and priorities for evacuation including checking and accounting procedures						✓			

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Specific Evidence Requirements	BSBOHS601A	BSBOHS602A	BSBOHS603A	BSBOHS604A	BSBOHS605A	BSBOHS606A	BSBOHS607A	BSBOHS608A	BSBOHS609A
Circumstances or actions that may block, damage or inhibit function or use of emergency equipment						✓			
Information and data needs of emergency response agencies at time of reporting emergency, arrival of response and during management of emergency						✓			
Method of use, including hazards and limitations, of relevant emergency equipment including communication equipment						✓			
Principles of effective liaison with emergency service personnel including ensuring that there is no interference or hindrance to their action						✓			
Knowledge of organisational OHS policies and procedures	✓	✓	✓	✓	✓	✓			✓
Nature of workplace processes (including work flow, planning & control) and hazards relevant to the particular workplace	✓		✓	✓	✓	✓		✓	✓
Sources of occupational disease and their prevention			✓		✓				
Knowledge of toxicology of hazardous materials and potential health effects in the workplace			✓		✓				
Key personnel, including identifying 'change agents', within workplace management structure	✓	✓		✓	✓	✓	✓		
Formal and informal communication and consultation processes and key personnel related to communication	✓	✓	✓	✓	✓	✓	✓	✓	✓
Language, literacy and cultural profile of the work group	✓	✓	✓	✓	✓	✓		✓	✓
Organisational culture as it impacts on the workgroup	✓	✓	✓	✓	✓	✓			✓
Organisational emergency procedures including various roles of the workplace emergency personnel						✓			
Essential actions of self and other key personnel in an emergency						✓			

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Required Skills and Attributes

Specific Evidence Requirements	BSBOHS601A	BSBOHS602A	BSBOHS603A	BSBOHS604A	BSBOHS605A	BSBOHS606A	BSBOHS607A	BSBOHS608A	BSBOHS609A
Ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities	✓	✓	✓	✓	✓	✓	✓	✓	✓
Ability to communicate effectively with personnel at all levels of organisation and OHS specialists and, as required, emergency service personnel	✓	✓	✓	✓	✓	✓	✓	✓	✓
Ability to prepare reports for a range of target groups including OHS committee, OHS representatives, managers, supervisors and other stakeholders	✓	✓	✓	✓	✓	✓	✓		✓
Advanced written communication skills including development of policies and procedures, plans	✓	✓						✓	
Ability to apply continuous improvement and action planning processes	✓	✓	✓	✓	✓	✓		✓	
Ability to effectively contribute to the strategic OHS performance of the organisation	✓	✓							✓
Ability to employ project management skills to achieve change	✓	✓		✓	✓	✓	✓	✓	
Ability to manage own tasks within time frame	✓	✓	✓	✓	✓	✓	✓	✓	✓
Ability to employ consultation and negotiation skills, particularly in relation to developing plans and implementing and monitoring designated actions	✓	✓	✓	✓	✓	✓	✓	✓	✓
Ability to contribute to the assessment of the resources needed to systematically manage OHS and, where appropriate, access resources	✓	✓	✓	✓	✓	✓	✓	✓	
Ability to analyse relevant workplace information and data, make observations including of workplace tasks and interactions between people, their activities, equipment, environment and systems		✓	✓	✓	✓		✓		✓
Ability to analyse and evaluate a range of information and data formats including graphs, maps, matrices, technical reports						✓			✓

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Specific Evidence Requirements	BSBOHS601A	BSBOHS602A	BSBOHS603A	BSBOHS604A	BSBOHS605A	BSBOHS606A	BSBOHS607A	BSBOHS608A	BSBOHS609A
Ability to carry out simple arithmetical calculations (e.g. % change), and produce graphs of workplace information and data to identify trends and recognise limitations of information and data		✓	✓	✓	✓				
Ability to carry out simple statistical analysis eg mean, standard deviation, regression		✓							✓
Ability to use electronic information and data systems to enter workplace information and data and produce effective graphical representations		✓			✓				✓
Ability to interpret information and data to identify areas for improvement	✓	✓		✓	✓	✓			✓
Ability to use a range of communication media			✓	✓	✓	✓	✓		✓
Ability to conduct effective formal and informal meetings	✓	✓	✓	✓	✓	✓	✓		✓
Ability to use information and data gathering techniques such as brainstorming, polling, interviews	✓	✓				✓	✓		✓
Ability to use language and literacy skills appropriate to the workgroup and the task	✓	✓	✓	✓	✓	✓	✓	✓	✓
Ability to use computer and information technology skills to access internal and external information and data on OHS	✓	✓	✓	✓	✓	✓	✓	✓	✓
Ability to undertake basic research to access relevant information and data			✓	✓	✓		✓		
Ability to effectively use anthropometric tables				✓					
Ability to use measuring equipment including reading scales and dials applicable to selected hazards					✓				
Ability to interpret results from workplace measurements					✓				
Demonstrated attention to detail when making observations and recording outcomes		✓	✓	✓	✓		✓	✓	✓
Ability to issue instructions in an authoritative manner during unusual circumstances						✓			

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BSB01 Business Services Training Package

Compliance Management Competency Standards

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BSBCOM401A Organise and monitor the operation of compliance management system

Unit Descriptor

This unit covers the organisation and monitoring of the operation of a compliance program/management system established by an organisation to fulfil its obligations and responsibilities under applicable compliance requirements. It has been designed to be consistent with Australian Standard AS 3806: Compliance Programs.

Competency Field

Business management services

Domain

Compliance management

Application of the Competency

This unit could be undertaken as part of a broader role of an owner-manager or senior manager in a small organisation. It may also be undertaken as a section or line manager in an operational unit or as a member of a compliance management team within a larger organisation.

This unit is intended to ensure that compliance is an integral part of normal business operations.

Application of this unit must be consistent with the pertinent sections of relevant Australian and international standards and legislative requirements including – AS 3806: Compliance Programs, AS 4269: Complaints Handling, A/NZS: 4360 Risk Management and AS ISO 15489: Records Management.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Identify compliance roles and responsibilities	1.1 The *compliance requirements* applicable to the organisation are confirmed and interpreted 1.2 The structure of the organisation is examined to determine the roles, accountabilities and responsibilities of the various groups of managers and operational staff in maintaining compliance within the organisation's planned compliance program/management system

2. Organise the operation of the compliance program/management system	2.1	The *components of the planned compliance program/management system* are confirmed and the proposed structures, procedures and budgetary arrangements for their implementation are clarified
	2.2	An implementation strategy and schedule is developed for the establishment of the planned compliance program/management system in collaboration with relevant managers and operations staff and in accordance with *relevant Australian and international standards*
	2.3	*Resources for the planned compliance program/management system* are assigned or acquired in accordance with organisational procedures and policies
	2.4	Appropriate briefings and training are arranged to ensure relevant managers and operations staff are aware of their roles and responsibilities within the planned compliance program/management system
	2.5	The compliance program/management system is launched in accordance with organisation's plan
3. Monitor the operation of the compliance program/management system	3.1	Information on the operation of the compliance program/management system is gathered from *appropriate sources*
	3.2	Feedback and *performance indicators* on the operation of the compliance program/management system are reviewed in terms of agreed criteria
	3.3	Problems in the operation of the compliance program/management system and in particular any breach of compliance requirements are identified and appropriate action is taken to address the problems concerned
	3.4	In the case of breaches in compliance requirements, specific timely action as detailed in the established compliance program is initiated and all relevant internal and external personnel are informed through the established reporting systems
4. Document the operation and monitoring of the compliance program/management system	4.1	Information on the operation of the compliance program/management system is prepared and disseminated to *relevant internal and external personnel* in accordance with the *communication strategy* in the organisation plan for the compliance program/management system

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4.2 Periodic reports on the operation of the compliance program/management system, and any operational problems identified and related action taken are prepared and disseminated to relevant internal and external personnel in accordance with the requirements of the organisation and relevant external authorities and organisations

4.3 Reports on any identified breaches of compliance requirements and related action taken are prepared and disseminated to relevant internal and external personnel in accordance with the compliance program/management system

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace may include**:**

- award and enterprise agreements and relevant industrial instruments
- relevant legislation from all levels of government that affects business operation, especially in regard to occupational health and safety (OHS) and environmental issues, equal opportunity, industrial relations and anti-discrimination
- relevant industry codes of practice

Compliance requirements may include but are not limited to:

- cross-industry, industry-specific and internal organisational compliance requirements in such areas as (examples only in alphabetical groupings):
  - anti-discrimination (including discrimination by race, sex, disability, religion, etc.), alcohol licensing (licensing regulations covering clubs, pubs, licensed premises, etc.), aviation
  - bankruptcy
  - chemical use, child protection, construction, conveyancing/real estate, copyright, corporate governance, customs, credit
  - education, electricity, environmental protection, equal opportunity
  - financial services (including banking), fire, food hygiene, freedom of information, freight forwarding
  - gambling, gene technology
  - health, human rights
  - insurance, immigration, intellectual property
  - land management

  - maritime, mining
  - pharmaceuticals, patents, privacy
  - quarantine
  - racing, rail transport, road transport
  - safety (includes cross-industry generic regulations as well as industry, equipment or product-specific sub-categories e.g. marine safety, rail safety, food safety, aviation safety, road safety, dangerous goods, construction safety, mine safety, road safety, etc.), security, sewage, superannuation
  - taxation, telecommunications, tobacco, trade practices and consumer protection
  - water supply, workers compensation, workers rehabilitation
- different types of external and internal compliance requirements including:
  - regulations of a state, national or international regulatory authority
  - accreditation requirements of an institute, professional organisation or registration body
  - requirements for certification under statutory licensing systems
  - statutory standards or codes of practice
  - internal policies, procedures, standards or codes of practice of an organisation
  - industrial relations agreements and policies

Components of the planned compliance program/management system may include but are not limited to:

- documentation of compliance requirements relevant to the organisation
- specifications of compliance management functions, accountabilities and responsibilities within the organisation
- compliance related management information systems
- record-keeping systems required for compliance management
- liaison procedures with relevant internal and external personnel on compliance related matters
- breach management policies and processes including the identification, classification, investigation, rectification and reporting of breaches in compliance requirements
- compliance reporting procedures
- corporate induction and training processes related to compliance management

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	• processes for the internal and external promulgation and promotion of information on compliance requirements and compliance program/management system • compliance complaints handling systems • continuous improvement processes for compliance including monitoring, evaluation and review • strategies for development of a positive compliance culture within the organisation • techniques and performance indicators for monitoring the operation of a compliance program/management system • reporting processes on compliance management including reports on breaches and rectification action
Relevant Australian and international standards may include but are not limited to:	• AS 3806: Compliance Programs • AS 4269: Complaints Handling • A/NZS 4360: Risk Management • AS ISO 15489: Records Management
Resources for the planned compliance program/management system may include but are not limited to:	• management and operations personnel • facilities and physical resources • hardcopy and electronic documentation • audiovisual resources where applicable • computer hardware, software and files • management information system
Appropriate sources (of information on the operation of the compliance program/management system) may include but are not limited to:	• publications (hardcopy and electronic) of authorities and organisations in relevant compliance areas • information from advisors, consultants and others with expertise in the development, operation and maintenance of compliance program/management systems • internal personnel with expertise in the development, operation and maintenance of compliance program/management systems • representatives of authorities and organisations in relevant compliance areas

Performance indicators (on the operation of the compliance program/management system) will be as specified in the organisation's predetermined and documented compliance objectives and may include but are not limited to:	• number and details of alleged breaches of relevant laws, codes and organisational standards • content of reports of breaches of compliance requirements • reports on action taken in the event of a breach in compliance requirements • results of assessments of skills and knowledge of managers and operations staff in terms of the organisation's compliance requirements, the compliance program/management system and their individual roles, accountabilities and responsibilities • number and details of complaints recorded that are related to compliance requirements, and action taken • operational costs of the compliance program/management system • reported problems in the operation of the complaints management system
Relevant internal and external personnel may include but are not limited to:	• chief executive officer • board of directors • senior management team • frontline managers • compliance management team (where relevant) • compliance specialists at the management level • compliance specialists at the operational level • representatives of relevant authorities with an interest in the compliance requirements and the compliance program/management system • chief executives and managers in related organisations with an interest in the compliance requirements and the compliance program/management system • representatives of professional associations and institutes relevant to the compliance requirements and the compliance program/management system • legal and business advisors and consultants with expertise and interest in compliance requirements and related management systems
External authorities and organisations may include but are not limited to:	• state, national or international regulatory authorities • state or national licensing authorities • professional associations and institutes • government departments • state or national statutory standards authorities • educational institutions and organisations

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Communication strategy (for compliance program/management system) may include but is not limited to:

- production and distribution of internal documentation requirements including overall specification of the compliance program/management system, procedures, standards, organisational structures, descriptions of staff roles and responsibilities, information on compliance program/management system components, breach management policies and procedures
- production and distribution of external documentation requirements including press releases, published information on compliance policies and organisational initiatives for compliance management, submissions and reports to regulatory authorities and others with an interest in applicable compliance requirements
- website and email arrangements for communication with relevant internal and external personnel
- nominated internal contacts linked to an established network of external contacts in relevant regulatory authorities and other organisations with an interest in applicable compliance requirements
- hardcopy and electronic newsletters either dedicated to compliance management issues or having a section dealing with compliance management issues
- presentations and papers at conferences or in relevant journals covering relevant aspects of the organisation's compliance program/management system
- attendance at relevant conferences, seminars, etc. dealing with relevant aspects of applicable compliance requirements and related compliance management
- subscription to and/or systematic access and review of relevant publications and periodicals dealing with relevant aspects of applicable compliance requirements and related compliance management

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this standard must be able to provide evidence that they have successfully organised and monitored the operation of an organisation's compliance program/management system. The compliance program/management system may be for a real or simulated organisation. The organising and monitoring functions may be carried out as a chief executive or senior manager in a small business, as a compliance manager in a larger organisation, or as a member of a compliance management team usually within a large organisation.

Evidence will include:

- demonstration of **core** skills and knowledge required in organising and monitoring operation of a compliance program/management system
- demonstration of the **specific** skills and knowledge that may be uniquely required to organise and monitor a compliance program/management system covering particular compliance areas such as OHS, environmental protection, corporate governance, insurance, transport, credit, food production, banking, etc.
- **Note:** dependent on the size and type of the organisation involved and the scope of compliance requirements relevant to the organisation, the depth, breadth and complexity of skills and knowledge to organise and monitor a compliance program/management system may vary.

Specific Evidence Requirements

Required knowledge and understanding include:

- relevant Australian and international standards including but not limited to:
  - AS 3806: Compliance Programs
  - AS 4269: Complaints Handling
  - A/NZS 4360: Risk Management
  - AS ISO 15489: Records Management
- compliance requirements relevant to the organisation
- elements of the compliance program/management system including:
  - documentation of compliance requirements relevant to the organisation
  - specification of compliance management functions, accountabilities and responsibilities within the organisation
  - compliance related management information systems
  - record-keeping systems required for compliance management
  - liaison procedures with relevant internal and external personnel on compliance related matters

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- breach management policies and processes including the identification, classification, investigation, rectification and reporting of breaches in compliance requirements
- compliance reporting procedures
- corporate induction and training processes related to compliance management
- processes for the internal and external promulgation and promotion of information on compliance requirements and compliance program/management system
- compliance complaints handling systems
- continuous improvement processes for compliance including monitoring, evaluation and review
- strategies for development of a positive compliance culture within the organisation
- techniques and performance indicators for monitoring the operation of a compliance program/management system
- reporting processes on compliance management including reports on breaches and rectification action

- relevant organisational policies and procedures including:
  - compliance plans and policies in various compliance areas
  - organisational standards for operations and ethics

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- ability to organise management systems within an organisation
- ability to monitor the operation of a management system
- ability to prepare and edit reports at frontline management level
- investigative skills to the level needed when organising and monitoring the operation of a compliance program/management system
- organising skills such as:
  - assigning and acquiring resources
  - managing other personnel involved in system operations
  - managing time

- managing finances
- evaluating system performance
- reporting on operations

- communication and interpersonal skills:
  - written and verbal communication skills
  - ability to relate to internal and external personnel who have an interest in the operation of an organisation's compliance program/management system

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (3)	• consulting with others and sharing ideas in the course of organising and monitoring an organisation's compliance program/management system • reporting on the operation of an organisation's compliance program/management system
Collecting, analysing and organising information (3)	• gathering and analysing data on operation of an organisation's compliance program/management system • sorting and organising outcomes of the analysis of performance data
Planning and organising activities (3)	• organising resources required for the operation and monitoring of an organisation's compliance program/management system
Working in a team (2)	• managing the work of others involved in the operation and monitoring of an organisation's compliance program/management system
Using mathematical ideas and techniques (3)	• conducting any required calculations in the course of organising and monitoring the operation of an organisation's compliance program/management system
Solving problems (3)	• solving problems arising in the operation of an organisation's compliance program/management system

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Using technology (3)	• using computers and software packages needed in the course of the operation and monitoring of an organisation's compliance program/management system
Innovation skills (3)	• recognising and creating opportunities for innovative procedures that may improve the operation of an organisation's compliance program/management system
Products that could be used as evidence include:	• operational plan for the compliance program/management system • budget for the operation of the compliance program/management system • summaries of resource allocation for the operation of the compliance program/management system • reports on the operation of the compliance program/management system
Processes that could be used as evidence include:	• how required resources were assigned and acquired • how the operational plans were prepared • how the operation of the compliance program/management system was monitored • how problems in the operation of the compliance program/management system were identified and addressed • how personnel involved in the operation of the compliance program/management system were managed • how reports on the operation of the compliance program/management system were drafted and edited
Resource implications for assessment include:	• access to relevant documentation such as: - plans for the operation of the compliance program/management system - organisational policies, standard operating procedures, procedures and plans - relevant legislation, regulations, licensing requirements, codes of practice, standards, etc. • access to appropriate computer resources for online searching, data processing and analysis and report preparation and editing
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment

	• full documentation on how a compliance program/management system was successfully organised and monitored. This may be for a suitably simulated project or the organisation and monitoring of an actual compliance program/management system
Integrated competency assessment means:	• that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant compliance management units or related records management units

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BSBCOM402A Implement processes for the management of breaches in compliance requirements

Unit Descriptor

This unit covers the identification, classification, investigation, rectification and reporting of breaches in compliance requirements within an organisation. The processes will be as defined within the organisation's compliance program/management system. The unit has been designed to be consistent with Australian Standard AS 3806: Compliance Programs.

Competency Field

Business management services

Domain

Compliance management

Application of the Competency

This unit could be undertaken as part of a broader role of an owner-manager or senior manager in a small organisation. It may also be undertaken as a section or line manager in an operational unit or as a member of a compliance management team within a larger organisation.

While competence in this unit requires the demonstration of a core of knowledge associated with the general processes of identifying, classifying, investigating, rectifying and reporting breaches in compliance requirements, there is also a variable knowledge set related to the specific legislative requirements, code(s) of practice and internal standards and associated breach management procedures relevant to the operations and sphere of business of the organisation and/or industry sector concerned.

This unit is intended to ensure that compliance is an integral part of normal business operations.

Application of this unit must be consistent with the pertinent sections of relevant Australian and international standards and legislative requirements including – AS 3806: Compliance Programs, AS 4269: Complaints Handling, A/NZS: 4360 Risk Management and AS ISO 15489: Records Management.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Identify a breach in compliance requirements	1.1 Fulfilment of *compliance requirements* within operations within areas of responsibility is monitored in accordance with the organisation's established *compliance program/management system*

	1.2	Any *breaches of compliance requirements* are identified promptly, classified, and reported in accordance with the organisation's compliance program/management system
2. Develop and implement an action plan for investigation and rectification of the breach	2.1	Identified breaches of compliance requirements are investigated to determine their cause in accordance with the organisation's compliance program/management system
	2.2	An appropriate action plan for managing and rectifying the identified breach is developed in accordance with the established breach management procedures and *relevant Australian and international standards*
	2.3	Prompt action is taken to rectify the breach as per the plan and the organisation's compliance program/management system
	2.4	Action taken is documented and reported as required
3. Liaise with relevant internal and external personnel	3.1	Appropriate liaison is maintained with all relevant *internal personnel* on the nature of the breach and the action being taken
	3.2	Appropriate contact is made with relevant *external personnel* concerning the breach and action being taken
	3.3	Internal and external personnel are kept informed of progress in rectifying the breach in compliance requirements
	3.4	Advice and direction are taken from relevant internal and external personnel on the management and rectification of the breach in accordance with organisation's compliance program/management system
	3.5	Effective interpersonal skills are applied in the course of liaison and communication activities
4. Monitor the rectification of the breach	4.1	Progress in the rectification of a breach of compliance requirements is closely monitored in accordance with organisation's compliance program/management system
	4.2	Problems which may arise in breach rectification are identified, and appropriate action is taken to deal with the problem and report to appropriate personnel on its management
	4.3	All relevant personnel are notified when the identified breach has been successfully rectified

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5. Document the breach and subsequent rectification	5.1 All required reports on an identified breach in compliance requirements and subsequent rectification action are prepared and submitted to relevant internal and external personnel as required 5.2 Systemic and recurring problems of non-compliance are reported to those with sufficient authority to correct them 5.3 Records of breaches, action taken and the outcomes of rectification processes are completed and filed in accordance with organisation's compliance program/management system

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace may include**:**	• award and enterprise agreements and relevant industrial instruments • relevant legislation from all levels of government that affects business operation, especially in regard to occupational health and safety (OHS) and environmental issues, equal opportunity, industrial relations and anti-discrimination • relevant industry codes of practice
Compliance requirements may include but are not limited to:	• cross-industry, industry-specific and internal organisational compliance requirements in such areas as (examples only in alphabetical groupings): - anti-discrimination (including discrimination by race, sex, disability, religion, etc.), alcohol licensing (licensing regulations covering clubs, pubs, licensed premises, etc.), aviation - bankruptcy - chemical use, child protection, construction, conveyancing/real estate, copyright, corporate governance, customs, credit - education, electricity, environmental protection, equal opportunity - financial services (including banking), fire, food hygiene, freedom of information, freight forwarding - gambling, gene technology - health, human rights - insurance, immigration, intellectual property - land management - maritime, mining

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- pharmaceuticals, patents, privacy
- quarantine
- racing, rail transport, road transport
- safety (includes cross-industry generic regulations as well as industry, equipment or product-specific sub-categories e.g. marine safety, rail safety, food safety, aviation safety, road safety, dangerous goods, construction safety, mine safety, road safety, etc.), security, sewage, superannuation
- taxation, telecommunications, tobacco, trade practices and consumer protection
- water supply, workers compensation, workers rehabilitation

- different types of external and internal compliance requirements including:
  - regulations of a state, national or international regulatory authority
  - accreditation requirements of an institute, professional organisation or registration body
  - requirements for certification under statutory licensing systems
  - statutory standards or codes of practice
  - internal policies, procedures, standards or codes of practice of an organisation

Compliance program/management system may include but is not limited to:

- documentation of compliance requirements relevant to the organisation
- specification of compliance management functions, accountabilities and responsibilities within the organisation
- compliance related management information systems
- record-keeping systems required for compliance management
- liaison procedures with relevant internal and external personnel on compliance related matters
- breach management policies and processes including the identification, classification, investigation, rectification and reporting of breaches in compliance requirements
- compliance reporting procedures
- corporate induction and training processes related to compliance management
- processes for the internal and external promulgation and promotion of information on requirements and the compliance program/management system

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	• compliance complaints handling systems • continuous improvement processes for compliance • strategies for development of a compliance culture within the organisation • techniques and performance indicators for monitoring the operation of a compliance program/management system • reporting processes on compliance management including reports on breaches and rectification action
A breach in compliance requirements is:	• a failure by an organisation to fulfil compliance obligations and responsibilities under applicable laws, regulations, codes or organisational standards
Relevant Australian and international standards may include but are not limited to:	• AS 3806: Compliance Programs • AS 4269: Complaints Handling • A/NZS 4360: Risk Management • AS ISO 15489: Records Management
Internal personnel may include but are not limited to:	• chief executive officer • board of directors • senior management team • frontline managers • compliance management team (where relevant) • compliance specialists at the operational level
External personnel may include but are not limited to:	• representatives of relevant authorities in pertinent compliance areas • chief executives and managers in organisations with an interest in the compliance issues being researched • representatives of professional associations and institutes relevant to the organisation's operations and sphere of business • legal and business advisors and consultants with expertise and interest in compliance requirements and related management systems
External authorities and organisations may include but are not limited to:	• state, national or international regulatory authorities • state or national licensing authorities • professional associations and institutes • government departments • state or national statutory standards authorities • educational institutions and organisations

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Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this standard must be able to provide evidence that they have successfully implemented processes for the management of at least three real or simulated breaches in compliance requirements.

Evidence will include:

- demonstration of **core** skills and knowledge required in implementing breach management processes generally
- demonstration of the **specific** skills and knowledge that may be uniquely required to deal with breaches in particular compliance areas such as OHS, environmental protection, corporate governance, insurance, transport, credit, food production, banking, etc.
- **Note:** dependent on the scope and type of compliance requirements involved and the size and nature of the organisation, the depth, breadth and complexity of skills and knowledge to implement breach management processes may vary.

Specific Evidence Requirements

Required knowledge and understanding include:

- compliance policies and requirements applicable to the organisation
- established breach management procedures
- reporting procedures for breaches in compliance requirements
- potential breaches in compliance requirements
- analysis techniques relevant to the review and interpretation of an identified breach in compliance requirements
- elements of the compliance program/management system including:
  - documentation of compliance requirements relevant to the organisation
  - specification of compliance management functions, accountabilities and responsibilities within the organisation
  - compliance related management information systems
  - record-keeping systems required for compliance management
  - liaison procedures with relevant internal and external personnel on compliance related matters

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- breach management policies and processes including the identification, classification, investigation, rectification and reporting of breaches in compliance requirements
- compliance reporting procedures
- corporate induction and training processes related to compliance management
- processes for the internal and external promulgation and promotion of information on compliance requirements and compliance program/management system
- compliance complaints handling systems
- continuous improvement processes for compliance including monitoring, evaluation and review
- strategies for development of a positive compliance culture within the organisation
- techniques and performance indicators for monitoring the operation of a compliance program/management system
- reporting processes on compliance management including reports on breaches and rectification action

- relevant Australian and international standards including but not limited to:
  - AS 3806: Compliance Programs
  - AS 4269: Complaints Handling
  - A/NZS 4360: Risk Management
  - AS ISO 15489: Records Management
- internal and external personnel with an interest in compliance

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- ability to contribute to a positive culture of compliance within an organisation
- ability and skills to:
  - determine compliance requirements applicable
  - source information on breaches of compliance
  - recognise breaches of compliance requirements
  - initiate required action to manage breaches of compliance requirements
  - report action taken to manage breaches of compliance requirements

- investigatory skills to the level needed when managing breaches in compliance requirements
- communication and interpersonal skills:
  - written and verbal communication skills
  - ability to relate to internal and external personnel and in particular those representing relevant regulatory authorities, professional institutes and organisations, standards organisations, etc.

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (3)	• consulting with others and sharing ideas in the course of identifying breaches of compliance requirements • communicating with internal and/or external personnel about breaches in compliance requirements and related management action
Collecting, analysing and organising information (3)	• gathering and analysing information on compliance requirements • recognising and evaluating breaches in compliance requirements
Planning and organising activities (3)	• organising action to rectify an identified breach in compliance requirements
Working in a team (2)	• managing work of others involved in rectifying an identified breach in compliance requirements
Using mathematical ideas and techniques (3)	• carrying out any mathematical calculations needed during the identification of compliance breaches or related rectification action
Solving problems (3)	• solving problems arising in the identification and/or rectification of breaches in compliance requirements
Using technology (3)	• using computers and software packages for the identification of a breach in compliance requirements and associated rectification action
Innovation skills (3)	• taking appropriate initiatives when managing the rectification of an identified breach in compliance requirements

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Products that could be used as evidence include:	• summary of analysis of compliance requirements • records of breaches of compliance requirements • reports on action taken to manage the rectification of identified breaches in compliance requirements • diaries and other records of breach management activities
Processes that could be used as evidence include:	• how the applicable compliance requirements were determined • how potential breaches in compliance were established • how information on possible breaches of compliance requirements was sourced and analysed • how breaches in compliance requirements were identified, classified and investigated • how the rectification of breaches in compliance requirements has been managed • how liaison with relevant internal and external personnel has been maintained • how breaches and related management action were reported to relevant internal and external personnel
Resource implications for assessment include:	• access to relevant information on compliance requirements such as: - organisational policies, standard operating procedures, procedures and plans - relevant legislation, regulations, licensing requirements, codes of practice, standards, etc. • access to the relevant internal and external data files • access to appropriate computer resources needed for the management of identification and rectification of breaches in compliance requirements
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • full documentation of the successful implementation of established management processes for at least three real or simulated breaches of compliance requirements
Integrated competency assessment means:	• that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant compliance management units or related records management units

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BSBCOM403A Provide education and training on compliance requirements and systems

Unit Descriptor

This unit covers the organisation and provision of corporate induction and ongoing training programs to enable operational and managerial personnel to effectively implement and maintain an organisation's established compliance program/management system. This may include the organisation of the development and provision of appropriate internal and external learning opportunities and resources. This unit has been designed to be consistent with Australian Standard AS 3806: Compliance Programs.

Competency Field

Business management services

Domain

Compliance management

Application of the Competency

Dependent on the size of the organisation, the unit could be applied to different groups of managers. For example, in small businesses the unit could be undertaken by owner-managers, chief executives and/or other managers. In larger organisations, the unit could be required by managers and compliance section managers who may have specific responsibility for the planning, development and operation of induction and training components of their organisation's compliance program.

This unit is intended to ensure that compliance is an integral part of normal business operations.

Application of this unit must be consistent with the pertinent sections of relevant Australian and international standards and legislative requirements including – AS 3806: Compliance Programs, AS 4269: Complaints Handling, A/NZS: 4360 Risk Management and AS ISO 15489: Records Management.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Identify the requirements for induction and ongoing training programs in the area of compliance management	1.1 *Compliance requirements* relevant to the organisation and the associated *compliance program/management system* established to enable the organisation to fulfil its obligations and responsibilities are confirmed and documented in preparation for induction and training activities

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	1.2 *Individual responsibilities of personnel within the organisation to implement the organisation's compliance program/management system* are identified and confirmed in accordance with the organisation's compliance policies and *relevant Australian and international standards*
	1.3 Current competence and capacity of personnel to implement and maintain a compliance program/management system is assessed and documented
	1.4 Induction and training needs of personnel to achieve the required levels of competence are determined
2. Plan and organise internal and external education and training systems	2.1 Compliance training objectives are developed based on the assessed training needs of personnel
	2.2 Quality and costs of external training options are assessed and compared
	2.3 Appropriate *internal compliance training programs* and/or *external compliance training options* are selected and organised to meet assessed compliance management training needs
	2.4 Customisation of external training options is negotiated if required
	2.5 Budget for internal and external compliance training is prepared and negotiated with appropriate organisational personnel
	2.6 *Training personnel* requirements are identified and appropriate staff are assigned or recruited and prepared
	2.7 Appropriate training and assessment materials and facilities are organised for development or acquisition (where required)
	2.8 Implementation plans for the internal and external compliance training are prepared and executed as approved
	2.9 Contract(s) for required external compliance training are negotiated and signed as per organisational policies and procedures
	2.10 Planned corporate induction and training programs are implemented

3. Evaluate and monitor the compliance education and training systems	3.1 *Criteria for the monitoring and evaluation of internal and external compliance training systems* are established
	3.2 Operational plan for the monitoring and evaluation of internal and external compliance training systems is prepared and approval sought from appropriate personnel
	3.3 Staff and resources required for the monitoring and evaluation of internal and external compliance training systems are identified and organised
	3.4 Approved plans for the monitoring and evaluation of internal and external compliance training systems are implemented
4. Document the operation of the compliance education and training systems	4.1 Plans for the development and operation of both internal and external compliance induction and training systems are documented in accordance with organisational requirements
	4.2 *Operational reports, certification and training and assessment records* are prepared, processed and stored in accordance with relevant organisational statutory requirements
	4.3 Reports on the outcomes of monitoring and evaluation of compliance induction and training systems are prepared and processed as required

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace may include**:**	• award and enterprise agreements and relevant industrial instruments • relevant legislation from all levels of government that affects business operation, especially in regard to occupational health and safety (OHS) and environmental issues, equal opportunity, industrial relations and anti-discrimination • relevant industry codes of practice
Compliance requirements may include but are not limited to:	• cross-industry, industry-specific and internal organisational compliance requirements in such areas as (examples only in alphabetical groupings): - anti-discrimination (including discrimination by race, sex, disability, religion, etc.), alcohol licensing (licensing regulations covering clubs, pubs, licensed premises, etc.), aviation - bankruptcy

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- chemical use, child protection, construction, conveyancing/real estate, copyright, corporate governance, customs, credit
- education, electricity, environmental protection, equal opportunity
- financial services (including banking), fire, food hygiene, freedom of information, freight forwarding
- gambling, gene technology
- health, human rights
- insurance, immigration, intellectual property
- land management
- maritime, mining
- pharmaceuticals, patents, privacy
- quarantine
- racing, rail transport, road transport
- safety (includes cross-industry generic regulations as well as industry, equipment or product-specific sub-categories e.g. marine safety, rail safety, food safety, aviation safety, road safety, dangerous goods, construction safety, mine safety, road safety, etc.), security, sewage, superannuation
- taxation, telecommunications, tobacco, trade practices and consumer protection
- water supply, workers compensation, workers rehabilitation

• different types of external and internal compliance requirements including:
  - regulations of a state, national or international regulatory authority
  - accreditation requirements of an institute, professional organisation or registration body
  - requirements for certification under statutory licensing systems
  - statutory standards or codes of practice
  - internal policies, procedures, standards or codes of practice of an organisation

Compliance program/management system may include but is not limited to:

• documentation of compliance requirements relevant to the organisation
• specifications of compliance management responsibilities within the organisation
• compliance related management information systems

- record-keeping systems required for compliance management
- liaison procedures with relevant internal and external personnel on compliance related matters
- breach management policies and processes including the identification, classification, investigation, rectification and reporting of breaches in compliance requirements
- compliance reporting procedures
- corporate induction and training processes related to compliance management
- processes for the internal and external promulgation and promotion of information on compliance requirements and compliance program/management system
- compliance complaints handling systems
- continuous improvement processes for compliance including monitoring, evaluation and review
- strategies for development of a positive compliance culture within the organisation
- techniques and performance indicators for monitoring the operation of a compliance program/management system
- reporting processes on compliance management including reports on breaches and rectification action

Individual responsibilities of personnel within the organisation to implement the organisation's compliance program/management system may include but is not limited to:

- advising and consulting on compliance requirements and management systems
- applying basic skills and knowledge (achieved in induction or orientation program) to ensure that compliance is maintained with applicable regulations, rules, codes etc.
- costing and budgeting for compliance
- creating a culture of compliance within an organisation
- developing and implementing systems for compliance, including record keeping, complaints and reporting systems
- ensuring that the organisational infrastructure, policies and operating procedures for compliance are developed, implemented and maintained
- educating others on compliance requirements and related management systems
- ensuring compliance within others' work
- ensuring compliance within own work

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	• evaluating and reviewing compliance management system • identifying and interpreting compliance requirements implementing the compliance records system • implementing the compliance related complaints-handling system • managing rectification of breaches of compliance requirements • monitoring and reporting on the implementation of compliance systems and requirements • organising the implementation of compliance program/management system • planning and developing a compliance management system • promoting compliance within and outside of an organisation • rectifying identified breaches of compliance requirements • undertaking risk management on compliance
Relevant Australian and international standards may include but are not limited to:	• AS 3806: Compliance Programs • AS 4269: Complaints Handling • A/NZS 4360: Risk Management • AS ISO 15489: Records Management
Internal compliance training programs may include but are not limited to:	• induction and on-job coaching and mentoring on compliance responsibilities and roles within compliance programs and related management systems • internal off-job training on specific aspects of compliance management system such as MIS, complaints management, breach management, contributing to a compliance culture within the organisation, etc.; these may be substantial courses or short one-day workshops on specific issues • internally developed and managed online training on specific aspects of the compliance management system including operational procedures and relevant roles and responsibilities
External compliance training options may include but are not limited to:	• training programs conducted by regulatory authorities on requirements and obligations within a specific area of compliance, e.g. OHS (National Occupational Health and Safety Commission) or Financial Advisor Regulations (ASIC)

	• training programs on relevant aspects of compliance conducted by accredited training organisations • externally developed and managed online training on specific aspects of compliance and compliance programs and related management systems
Training personnel may include but are not limited to:	• compliance education and training managers • training coordinators • trainers and assessors with expertise in relevant aspects of compliance requirements and compliance programs and related management systems • coaches and mentors in the workplace with expertise in relevant aspects of compliance requirements and compliance programs and related management systems • training support staff including administration staff, training resource managers and training material developers
Criteria for the monitoring and evaluation of internal and external compliance training systems may include but are not limited to:	• cost – value for money • relevance • accredited by relevant compliance authorities or other relevant industry organisations or professional institutes or bodies • accredited under the Australian Quality Training Framework • flexibility in meeting the requirements of the organisation e.g. times, locations • quality of resources including training materials, facilities and training and support staff
Operational reports, certification and training and assessment records may include but are not limited to:	• trainee and student records • assessment outcomes • reports on the evaluation of compliance training programs • educational awards and training certificates • accreditation submissions and related documentation • planning and operational documentation for both internal and external compliance training

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Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this standard must be able to provide evidence that they have successfully managed the provision of education and training to relevant personnel within an organisation to enable it to fulfil its obligations and responsibilities under applicable compliance requirements.

Evidence will include:

- demonstration of **core** skills and knowledge required to manage a compliance corporate training and assessment scheme within an organisation
- demonstration of the **specific** skills and knowledge that may be uniquely required to manage education and training activities in particular compliance areas such as OHS, environmental protection, corporate governance, insurance, transport, credit, food production, banking, etc
- **Note:** dependent on the scope and type of compliance requirements involved and the extent of internal and external training and assessment activities being managed, the depth, breadth and complexity of skills and knowledge to manage corporate induction and training on compliance requirements and programs may vary.

Specific Evidence Requirements

Required knowledge and understanding include:

- internal and external training options available to match the needs of the organisation and its staff in compliance related areas
- Australian and international standards as they relate to training and skill requirements needed for the development, implementation and maintenance of compliance program/management systems including but not limited to:
  - AS 3806: Compliance Programs
  - AS 4269: Complaints Handling
  - A/NZS 4360: Risk Management
  - AS ISO 15489: Records Management
- sources of information on training options relevant to the development, implementation and maintenance of compliance program/management systems
- adult education and training principles
- elements of compliance programs and related management systems including:

- documentation of compliance requirements relevant to the organisation
- specification of compliance management functions, accountabilities and responsibilities within the organisation
- compliance related management information systems
- record-keeping systems required for compliance management
- liaison procedures with relevant internal and external personnel on compliance related matters
- breach management policies and processes including the identification, classification, investigation, rectification and reporting of breaches in compliance requirements
- compliance reporting procedures
- corporate induction and training processes related to compliance management
- processes for the internal and external promulgation and promotion of information on compliance requirements and compliance management system
- compliance complaints handling systems
- continuous improvement processes for compliance including monitoring, evaluation and review
- strategies for development of a positive compliance culture within the organisation
- techniques and performance indicators for monitoring the operation of a compliance management system
- reporting processes on compliance management including reports on breaches and rectification action

• relevant organisational policies and procedures including:
  - compliance plans and policies in various compliance areas
  - organisational standards for operations and ethics

Required skills and attributes include:

• ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
• ability to source and select appropriate training options
• ability to contribute to a positive culture of compliance within an organisation

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- ability to coordinate training and assessment activities within an organisation
- ability to plan and develop appropriate internal and external training in compliance related areas, including:
  - identifying and organising internal and external training to meet compliance needs of the organisation
  - developing internal and external training schedules
  - managing other personnel involved in the education and training activities
  - coordinating availability and use of training facilities, equipment and materials
  - time management
  - financial management
- ability to monitor and evaluate internal and external training programs in an organisation
- communication and interpersonal skills:
  - written and verbal communication skills
  - ability to relate to internal and external personnel involved in compliance training

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (3)	• consulting with staff and others on training needs in area of compliance requirements and related compliance program/management systems • communicating with internal and/or external trainers and training organisations on compliance training issues
Collecting, analysing and organising information (3)	• gathering and analysing information on staff training needs in compliance related areas • obtaining information on training options and selecting those appropriate for the organisation
Planning and organising activities (3)	• preparing the plan for the internal and external activities (as applicable)

Working in a team (3)	• managing the work of others conducting internal or external training on compliance requirements and compliance programs/management systems
Using mathematical ideas and techniques (3)	• determining costs and budgets for internal or external training on compliance requirements and compliance program/management system
Solving problems (3)	• solving problems arising in the management of internal or external training on compliance
Using technology (3)	• using computers and software packages for the management of the organisations compliance training scheme
Innovation skills (3)	• recognising and creating opportunities for innovative training and learning opportunities that may improve the value, relevance, efficiency and accessibility of learning activities within an organisation's compliance training scheme
Products that could be used as evidence include:	• compliance training plans including internal and external programs (as applicable) • outcomes of training needs analysis in compliance areas • training records and reports • training materials and resources developed as part of the organisation's compliance training scheme • reports on the monitoring and evaluation of the organisation's compliance training scheme • documentation related to accreditation of the compliance training scheme
Processes that could be used as evidence include:	• how the information on internal and external training options was sourced and interpreted • how compliance training s was planned and organised • how training personnel were selected and trained • how feedback was sought on various components of the organisation's compliance training scheme • how training personnel have been managed • how training records were maintained • how reports on the monitoring and evaluation of the organisation's compliance training scheme were prepared and disseminated
Resource implications for assessment include:	• access to relevant information on internal and external training options in compliance related areas relevant to the organisation's needs

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	• relevant training and assessment materials, facilities and resources • suitable internal training support staff and administrators • access to training records related to the compliance training scheme • access to appropriate computer resources for managing the organisation's compliance training scheme
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • full documentation of the successful management of a compliance training scheme for an organisation. This may be a suitably simulated project or the management of an actual compliance training scheme for an organisation
Integrated competency assessment means:	• that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant units including training and assessment units

BSBCOM404A Promote and liaise on compliance requirements, systems and related issues

Unit Descriptor

This unit covers the promotional, communication and liaison activities that ensure that the organisation's commitment to and requirements for compliance are well publicised to staff, agents, contractors and other relevant third parties.

Regular communication and liaison are necessary to keep management staff informed on compliance issues such as changes in the law, court decisions or other requirements with which they may have to comply. Regular communication and liaison are also required with relevant regulators, statutory authorities, etc. concerning compliance requirements, and identified breaches in those requirements and reports on action taken to rectify and mange identified compliance breaches.

This unit has been designed to be consistent with Australian Standard AS 3806: Compliance Programs.

Competency Field

Business management services

Domain

Compliance management

Application of the Competency

This unit may be undertaken as part of a broader role of an owner-manager, chief executive or senior manager in a small business, as well as a manager or member of a compliance management team within a larger organisation. This could also apply to promotional and/or liaison activities undertaken by an internal consultant responsible for advising the chief executive and/or management team on compliance management policies and systems and related matters.

While competence in this unit requires the demonstration of a core of knowledge associated with general promotional and liaison functions, there is also a variable knowledge set related to the specific legislative requirements, code(s) of practice and internal standards and procedures relevant to the operations and sphere of business of the organisation and/or industry sector concerned.

This unit is intended to ensure that compliance is an integral part of normal business operations.

Application of this unit must be consistent with the pertinent sections of relevant Australian and international standards and legislative requirements including – AS 3806: Compliance Programs, AS 4269: Complaints Handling, A/NZS: 4360 Risk Management and AS ISO 15489: Records Management.

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Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Clarify compliance issues on which liaison is required	1.1 *Compliance issues* requiring communication with relevant internal and external personnel are confirmed and clarified
	1.2 Information to be sought and/or obtained in the course of the liaison activity on applicable *compliance requirements* and related *compliance program/management system* is clarified and summarised in an appropriate format
	1.3 Sections of *relevant Australian and international standards* are identified, sourced and interpreted in terms of processes to be followed for promotional and liaison activities related to an organisation's compliance program/management system
2. Identify the target groups for promotional or liaison activities	2.1 Groups that need to be aware of the organisation's compliance program/management system or that may need to be contacted about compliance issues are identified using appropriate means
	2.2 Information on identified *target groups* is recorded and stored in an appropriate format for use in activities to promote the compliance program/management system of the organisation
3. Identify contacts for liaison	3.1 Suitable contacts are identified from own network or with the assistance of relevant internal and external personnel
	3.2 Where immediate contacts are not obvious suitable, *search techniques* are applied to establish the most suitable contacts for the liaison activities
4. Develop the action plan for the promotional and liaison activities	4.1 Details of the organisation's compliance program/management system are accessed and reviewed
	4.2 Internal and external persons and organisations that need to be aware of specific aspects of the compliance program/management system are listed for inclusion in *compliance management promotional and liaison activities*
	4.3 An *action plan for the compliance management promotional and liaison activities* is prepared in collaboration with relevant internal and external personnel

5. Assign resources for promotional and liaison activities	5.1 A suitable budget to implement the planned compliance management promotional and liaison activities is prepared and negotiated with authorised personnel for approval
	5.2 Physical and human resources for the execution of the planned promotional and liaison activities are assigned or acquired in accordance with the approved action plan
6. Communicate with identified contacts	6.1 Initial contact is made with identified *internal and/or external contacts* using appropriate *communication techniques*
	6.2 Where information is being sought, the requirements are clearly explained and communicated in written, electronic or oral form
	6.3 Effective interpersonal skills are applied in the course of all communication activities
	6.4 Where information is being provided, details are accurately and clearly provided in written, electronic or oral form using appropriate techniques in accordance with relevant internal and external requirements
	6.5 Details of communications conducted as part of compliance related promotional and liaison activities are recorded in an appropriate format in accordance with relevant internal and external requirements
7. Manage the promotional and liaison activities	7.1 Managers and personnel involved in the compliance management promotional and liaison activities are briefed on their roles and responsibilities
	7.2 Compliance management promotional and liaison activities are monitored against objectives, established performance criteria, milestones and budget targets, and appropriate action is taken to ensure promotional activities achieve the planned outcomes within project limits
8. Evaluate promotional and liaison activities	8.1 Data and *performance indicators* on the success or otherwise of compliance management promotional and liaison activities are collected from appropriate sources using planned techniques
	8.2 Collected evaluation data is analysed in terms of planned outcomes and performance criteria
	8.3 Results of evaluation of promotional and liaison activities are summarised and findings, identified issues and related recommendations are prepared

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9. Document promotional activities	9.1 Details of the execution of planned compliance management promotional and liaison activities are recorded, stored and disseminated in accordance with the organisation's policies and procedures
	9.2 Reports on the compliance management promotional and liaison activities and the outcomes achieved are prepared and submitted to relevant internal and external personnel
	9.3 Recommendations on opportunities for improvements to compliance management promotional and liaison activities arising from evaluation of the activities and their outcomes are referred to relevant managers for appropriate action
	9.4 Information on contacts established during compliance management liaison activities is organised and incorporated in an appropriate *listing of contacts* for future liaison activities

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace may include**:**	• award and enterprise agreements and relevant industrial instruments • relevant legislation from all levels of government that affects business operation, especially in regard to occupational health and safety (OHS) and environmental issues, equal opportunity, industrial relations and anti-discrimination • relevant industry codes of practice
Compliance issues may include but are not limited to:	• details of compliance requirements • risk management strategies • breach management strategies • personnel roles and responsibilities • changes in compliance requirements • interpretation of compliance requirements • costs of compliance • possible exemptions in some areas of compliance requirements
Compliance requirements may include but are not limited to:	• cross-industry, industry-specific and internal organisational compliance requirements in such areas as (examples only in alphabetical groupings):

- anti-discrimination (including discrimination by race, sex, disability, religion, etc.), alcohol licensing (licensing regulations covering clubs, pubs, licensed premises, etc.), aviation
- bankruptcy
- chemical use, child protection, construction, conveyancing/real estate, copyright, corporate governance, customs, credit
- education, electricity, environmental protection, equal opportunity
- financial services (including banking), fire, food hygiene, freedom of information, freight forwarding
- gambling, gene technology
- health, human rights
- insurance, immigration, intellectual property
- land management
- maritime, mining
- pharmaceuticals, patents, privacy
- quarantine
- racing, rail transport, road transport
- safety (includes cross-industry generic regulations as well as industry, equipment or product-specific sub-categories e.g. marine safety, rail safety, food safety, aviation safety, road safety, dangerous goods, construction safety, mine safety, road safety, etc.), security, sewage, superannuation
- taxation, telecommunications, tobacco, trade practices and consumer protection
- water supply, workers compensation, workers rehabilitation

• different types of external and internal compliance requirements including:

- regulations of a state, national or international regulatory authority
- accreditation requirements of an institute, professional organisation or registration body
- requirements for certification under statutory licensing systems
- statutory standards or codes of practice
- internal policies, procedures, standards or codes of practice of an organisation

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Compliance program/management system may include but is not limited to:	• documentation of compliance requirements relevant to the organisation • specification of compliance management accountabilities and responsibilities within the organisation • compliance related management information systems • record-keeping systems required for compliance management • liaison procedures with relevant internal and external personnel on compliance related matters • breach management policies and processes including the identification, classification, investigation, rectification and reporting of breaches in compliance requirements • compliance reporting procedures • corporate induction and training processes related to compliance management • processes for the internal and external promulgation and promotion of information on compliance requirements and compliance program/management system • compliance complaints handling systems • continuous improvement processes for compliance including monitoring, evaluation and review • strategies for development of a positive compliance culture within the organisation • techniques and performance indicators for monitoring the operation of a compliance program/management system • reporting processes on compliance management including reports on beaches and rectification action
Relevant Australian and international standards may include but are not limited to:	• AS 3806: Compliance Programs • AS 4269: Complaints Handling • A/NZS 4360: Risk Management • AS ISO 15489: Records Management
Target groups (for compliance management promotional activities) may include but are not limited to:	• staff • internal management teams • internal operations teams and personnel • clients of the organisation • contractors and suppliers of services and resources to the organisation • consultants and advisors to the organisation

	• regulatory authorities and other organisations with an interest in applicable compliance requirements • media and other organisations with a role in reporting on the organisation's compliance responsibilities and obligations, possible breaches in the requirements and the operation of the organisation's compliance program/management system
Search techniques may include but are not limited to:	• review of published information on personnel within relevant organisations such as company reports, journals and other documentation from regulators and other organisations with responsibility for overseeing that organisations fulfil compliance requirements • internet search of the websites of pertinent regulatory authorities, licensing bodies, organisations, etc. to identify relevant contacts • scan of suitable published reference materials such as business directories, corporate listings, government services and agencies, Yellow Pages, etc. to identify relevant contacts • contacting relevant professional associations and other organisations that may be able to recommend possible contacts
Compliance management promotional and liaison activities may include but are not limited to:	• meetings • interviews • telephone discussions • email communications • faxes • teleconferences and videoconferences • articles and papers in newsletters and journals • letters, reports, completed forms and other types of written documentations • information promulgated via websites • conferences, seminars and workshops • multimedia materials and resources
Action plan for the compliance management promotional and liaison activities may include but are not limited to:	• objectives and planned outcomes • key performance criteria and indicators • schedule of activities • required human and physical resources • budget • timelines and key milestones

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	• methodology for evaluating the success of the planned compliance management promotional activities • planned processes for reporting on the compliance management promotional activities
Internal and/or external contacts might include but are not limited to:	• chief executive officer • board of directors • senior management team • frontline managers • compliance management team (where relevant) • compliance specialists at the operational level • representatives of relevant authorities in pertinent compliance areas • chief executives and managers in organisations with an interest in the compliance issues being researched • representatives of professional associations and institutes relevant to the organisation's operations and sphere of business • legal and business advisors and consultants with expertise and interest in compliance requirements and related management systems
Communication techniques may include but are not limited to:	• electronic communications including telephone, fax, email, SMS, etc. • face-to-face oral communications • written communications
Performance indicators (on the success or otherwise of compliance management promotional and liaison activities) may include but are not limited to:	• reduction in breaches of compliance requirements amongst internal and external personnel including those contracted to provide services or supplies to the organisation • assessed increase in confidence in the ability of the organisation to fulfil its obligations and responsibilities under applicable compliance requirements • assessed increase in awareness amongst target groups of the compliance requirements and related compliance program/management system of the organisation • confidence of representatives of relevant regulatory authorities, licensing bodies, etc. in the capacity of an organisation and its managers and staff to take appropriate action to fulfil pertinent compliance requirements and rectify and report on any breaches in those requirements

Listing of contacts may include but is not limited to:	• hardcopy lists of contacts including address books and contact lists • electronic database of contacts

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this standard must be able to provide evidence that they have successfully promoted and liaised on compliance requirements and the compliance program/management system in an organisation. The promotional and liaison activities may be undertaken externally for an organisation such as a larger organisation, or internally within an organisation as by a CEO, senior manager, compliance officer, internal compliance researcher, or as a member of a compliance management team.

Evidence will include:

- demonstration of **core** skills and knowledge required in promoting and liaising on compliance programs and compliance requirements generally
- demonstration of the **specific** skills and knowledge that may be uniquely required to promote and liaise on compliance programs and requirements covering particular compliance areas such as OHS, environmental protection, corporate governance, insurance, transport, credit, food production, banking, etc and/or on specific issues such as impact of compliance, costs of compliance, risks of non-compliance, scope of compliance requirements, etc.

Note: dependent on the scope and type of compliance requirements involved and the size and nature of the organisation, the depth, breadth and complexity of skills and knowledge to promote and liaise on compliance requirements and related programs may vary.

Specific Evidence Requirements

Required knowledge and understanding include:	• compliance requirements applicable to the organisation • techniques suitable for liaising with others on an organisation's compliance program/management system and related issues • relevant Australian and international standards including but not limited to: - AS 3806: Compliance Programs - AS 4269: Complaints Handling - A/NZS 4360: Risk Management - AS ISO 15489: Records Management • internal and external personnel with an interest in an organisation's compliance program/management system

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- elements of compliance program and related management systems including:
  - documentation of compliance requirements relevant to the organisation
  - specification of compliance management functions, accountabilities and responsibilities within the organisation
  - compliance related management information systems
  - record-keeping systems required for compliance management
  - liaison procedures with relevant internal and external personnel on compliance related matters
  - breach management policies and processes including the identification, classification, investigation, rectification and reporting of breaches in compliance requirements
  - compliance reporting procedures
  - corporate induction and training processes related to compliance management
  - processes for the internal and external promulgation and promotion of information on compliance requirements and compliance program/management system
  - compliance complaints handling systems
  - continuous improvement processes for compliance including monitoring, evaluation and review
  - strategies for development of a positive compliance culture within the organisation
  - techniques and performance indicators for monitoring the operation of a compliance program/management system
  - reporting processes on compliance program/management including reports on breaches and rectification action
- relevant organisational policies and procedures including:
  - compliance plans and policies in various compliance areas
  - organisational standards for operations and ethics

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- ability to contribute to a positive culture of compliance within an organisation

- ability to organise promotional and liaison activities
- ability to identify target groups for promotional and liaison activities
- ability to effectively use communications technology
- ability to use the media in the course of promotional and liaison activities
- project management skills such as:
  - developing project plans for promotional and liaison activities
  - managing other personnel involved in the promotional and liaison activities
  - time management
  - financial management
- communication and interpersonal skills:
  - written and verbal communication skills
  - ability to communicate with and relate to relevant internal and external personnel

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (3)	• consulting with others and sharing ideas in the course of promotional and liaison activities • communicating with internal and/or external personnel using appropriate technology
Collecting, analysing and organising information (3)	• gathering and analysing information on target groups for promotional and liaison activities • obtaining and organising information on the organisation's compliance program/management system
Planning and organising activities (3)	• preparing the plans for promotional and liaison activities
Working in a team (2)	• managing work of others performing specific functions as part of promotional and liaison activities
Using mathematical ideas and techniques (3)	• conducting any calculations required when planning or evaluating promotional and liaison activities

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Solving problems (3)	• solving problems arising in the course of promotional and liaison activities
Using technology (3)	• using computers and software packages when planning, conducting or evaluating promotional and liaison activities
Innovation skills (3)	• recognising and creating opportunities for innovative activities that may improve promotional and liaison activities
Products that could be used as evidence include:	• plans and budgets for promotional and liaison activities • schedules of promotional and liaison activities • summaries of the outcomes of promotional activities • media releases and other documentation and promotional resources produced in the course of activities to promote the organisation's compliance program/management system • diaries and other records of promotional and liaison activities • reports on the conduct and outcomes of promotional and liaison activities
Processes that could be used as evidence include:	• how the promotional and liaison activities were planned • how target groups were identified • how promotional resources were developed and used • how feedback on the outcomes of the promotional and liaison activities was obtained and interpreted • how promotional and liaison activities were conducted • how promotional and liaison activities were evaluated and reported • how details of promotional and liaison activities were recorded
Resource implications for assessment include:	• access to relevant information on the organisation's applicable compliance requirements and related management system such as: - organisational policies, plans, standard operating procedures, compliance breach management procedures, etc. - relevant legislation, regulations, licensing requirements, codes of practice, standards, etc. • access to the relevant internal and external data files • access to relevant internal and external personnel

	• access to appropriate computer resources for maintaining a contact database or maintaining records of promotional and liaison activities
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • full documentation of the successful conduct of at least three projects involving liaison with relevant internal and external personnel with an interest in an organisation's compliance program/management system. These may be suitably simulated compliance management promotional or liaison projects or actual compliance management promotional or liaison projects
Integrated competency assessment means:	• that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant compliance management units or related records management units

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BSBCOM501A Identify and interpret compliance requirements

Unit Descriptor

This unit covers the identification and interpretation of the range of external and internal compliance requirements and obligations that must be fulfilled by an organisation. It has been designed to be consistent with Australian Standard AS 3806: Compliance Programs.

Competency Field

Business management services

Domain

Compliance management

Application of the Competency

This unit could be undertaken as part of a broader role of a chief executive or manager in a small organisation, or as a member of a compliance management team within a larger organisation. It also covers competencies required by an internal or external consultant as part of a broader advisory role to the chief executive or management team of a large or small organisation on compliance management policies and systems.

While competence in this unit requires the demonstration of a core of knowledge associated with the general processes of identifying and interpreting compliance requirements, there is also a variable knowledge set related to the specific legislative requirements, code(s) of practice and internal standards and procedures relevant to the operations and sphere of business of the organisation and/or industry sector concerned.

This unit differs from BSBCOM601A Research compliance requirements and issues, as the identification and interpretation activities are focused primarily on identifying and interpreting the specific legislative requirements, code(s) of practice and internal standards and procedures as they relate to a particular organisation. Researching compliance issues is a higher-order competence aimed at carrying out research into a wider range of compliance related issues, such as the costs of compliance, the potential impact of compliance on an organisation or industry, and the risks and consequences of non-compliance, etc.

This unit is intended to ensure that compliance is an integral part of normal business operations.

Application of this unit must be consistent with the pertinent sections of relevant Australian and international standards and legislative requirements including – AS 3806: Compliance Programs, AS 4269: Complaints Handling, A/NZS: 4360 Risk Management and AS ISO 15489: Records Management.

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Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Clarify the scope of operations	1.1 The relevant *range of operations* and the sphere of business arrangements of the organisation are identified and reviewed
	1.2 An analysis of the operations and business arrangements of the organisation is conducted and the functions, products and services that may be subject to *compliance requirements* are identified
	1.3 Work activity plans for determining relevant compliance requirements are developed and documented
	1.4 Approval of plans is obtained from relevant organisational personnel
2. Identify the compliance requirements	2.1 A search is carried out of *sources of information on internal and external compliance requirements* using appropriate *search resources* including *relevant Australian and international standards* dealing with compliance requirements and related compliance program/management systems
	2.2 The search of compliance requirements scans across all relevant *jurisdictions of laws, regulations and industry and organisational codes and standards* and identifies pertinent compliance requirements
	2.3 Information collected is progressively reviewed in terms of its relevance to the organisation's operations, services and products
	2.4 Gathered *information on relevant compliance requirements* is organised and stored in an appropriate format for further analysis
3. Interpret, analyse and prioritise the identified compliance requirements	3.1 Collected information is reviewed and interpreted in terms of its relevance to the organisation's functions, services and products
	3.2 Ambiguities, uncertainties and problems experienced while interpreting identified compliance information are discussed and clarified with *relevant internal or external personnel*
	3.3 Relevant compliance requirements are identified, analysed and prioritised in terms of the critical implications for the organisation and the risks and consequence of possible breaches

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	3.4 Pertinent compliance requirements are grouped into those that are critical and central to the organisation's operations, those that are important in some circumstances but are not central to the organisation's operations, and those that are pertinent but are incidental to the organisation's operations
4. Document the compliance requirements	4.1 Outcomes of the identification and interpretation activities are organised and documented
	4.2 Reports of relevant compliance requirements and assessed implications are prepared and communicated to *relevant personnel performing specific compliance management functions*

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace may include**:**	• award and enterprise agreements and relevant industrial instruments • relevant legislation from all levels of government that affects business operation, especially in regard to occupational health and safety (OHS) and environmental issues, equal opportunity, industrial relations and anti-discrimination • relevant industry codes of practice
Range of operations is dependent on the role of the manager concerned and may include:	• the operations of a particular section or organisational unit • the full range of operations of an organisation at a particular site • the full range of operations of an organisation distributed across multiple sites • the full range of operations of an organisation including mobile units such as vehicles, railway trains, maritime vessels, aircraft, etc.
Compliance requirements may include but are not limited to:	• cross-industry, industry-specific and internal organisational compliance requirements in such areas as (examples only in alphabetical groupings): - anti-discrimination (including discrimination by race, sex, disability, religion, etc.), alcohol licensing (licensing regulations covering clubs, pubs, licensed premises, etc.), aviation - bankruptcy

- chemical use, child protection, construction, conveyancing/real estate, copyright, corporate governance, customs, credit
- education, electricity, environmental protection, equal opportunity
- financial services (including banking), fire, food hygiene, freedom of information, freight forwarding
- gambling, gene technology
- health, human rights
- insurance, immigration, intellectual property
- land management
- maritime, mining
- pharmaceuticals, patents, privacy
- quarantine
- racing, rail transport, road transport
- safety (includes cross-industry generic regulations as well as industry, equipment or product-specific sub-categories e.g. marine safety, rail safety, food safety, aviation safety, road safety, dangerous goods, construction safety, mine safety, road safety, etc.), security, sewage, superannuation
- taxation, telecommunications, tobacco, trade practices and consumer protection
- water supply, workers compensation, workers rehabilitation

• different types of external and internal compliance requirements including:
  - regulations of a state, national or international regulatory authority
  - accreditation requirements of an institute, professional organisation or registration body
  - requirements for certification under statutory licensing systems
  - statutory standards or codes of practice
  - internal policies, procedures, standards or codes of practice of an organisation

Sources of information on internal and external compliance requirements may include:

- internal policies, standard operating procedures, standards, codes of practice
- relevant legislation, regulations and licensing requirements pertinent to the organisation's operations and sphere of business
- published material relevant to compliance held in either internal or external libraries

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Search resources may include:	• published information on relevant legislation, regulations, licensing requirements, codes of practice, Australian standards, etc • computer terminals linked to data sources either via the Internet, internal networks, or CD-ROMs • library resources and materials including compliance related books, journals, manuals, standards, CD-ROMs and other multimedia resources
Relevant Australian and international standards may include but are not limited to:	• AS 3806: Compliance Programs • AS 4269: Complaints Handling • A/NZS 4360: Risk Management • AS ISO 15489: Records Management
Jurisdiction of laws, regulations, industry and organisational codes and standards may include:	• organisational • industry • local • state • national • global
Information on relevant compliance requirements may include:	• published information on legislation, regulations, codes of practice, standards, licensing requirements, standard operating procedures, etc. • information downloadable from relevant Internet websites • records of conversations and meetings with relevant internal and external personal • correspondence, emails and other written information provided by internal and external personnel contacted during search activities • newsletters, bulletins and information sheets and other similar periodic documentation distributed by relevant regulatory authorities and standards bodies
Relevant internal personnel may include:	• chief executive officer • board of directors • senior management team • frontline managers • compliance management team (where relevant) • compliance specialists at the operational level
Relevant external personnel may include:	• representatives of relevant authorities in pertinent compliance areas • representatives of professional associations and institutes relevant to the organisation's operations and sphere of business

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- legal and business advisors and consultants with expertise in compliance management

Relevant personnel performing specific compliance management functions may include:

- compliance managers
- compliance management officers
- compliance management consultants
- legal personnel specialising in compliance management
- line managers with specific compliance functions

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this standard must be able to provide evidence that they have identified, interpreted and analysed the key compliance requirements relevant to an organisation, either as a chief executive or manager in a small organisation, as a member of the a compliance team for a larger organisation, or as an internal or external consultant advising managers in an organisation on compliance requirements and associated compliance program/management system. Evidence will likely be in a form that details the outcomes of the searching, interpretation and analysis activities and the processes followed.

Evidence will include:

- demonstration of core skills and knowledge required in generally sourcing, identifying, interpreting and analysing any compliance requirements for an organisation
- demonstration of the **specific** skills and knowledge that may be uniquely required to source, identify, interpret and analyse compliance requirements in <u>particular</u> compliance areas pertinent to the organisation e.g. OHS, environmental protection, corporate governance, insurance, transport, credit, food production, banking, etc

Note: dependent on the size of the organisation concerned, its range of operations and its sphere of business, the depth, breadth and complexity of skills and knowledge to identify and interpret compliance requirements may vary.

Specific Evidence Requirements

Required knowledge and understanding include:

- elements of compliance programs and related management systems including:
  - documentation of compliance requirements relevant to the organisation
  - specification of compliance management functions, accountabilities and responsibilities within the organisation
  - compliance related management information systems

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  - record-keeping systems required for compliance management
  - liaison procedures with relevant internal and external personnel on compliance related matters
  - breach management policies and processes including the identification, classification, investigation, rectification and reporting of breaches in compliance requirements
  - compliance reporting procedures
  - corporate induction and training processes related to compliance management
  - processes for the internal and external promulgation and promotion of information on compliance requirements and compliance program/management system
  - complaints handling systems
  - continuous improvement processes for compliance including monitoring, evaluation and review
  - strategies for development of a positive compliance culture within the organisation
  - techniques and performance indicators for monitoring the operation of a compliance program/management system
  - reporting processes on compliance management including reports on breaches and rectification action

- relevant organisational policies and procedures including:
  - compliance plans and policies in various compliance areas
  - organisational standards for operations and ethics
- relevant Australian and international standards including but not limited to:
  - AS 3806: Compliance Programs
  - AS 4269: Complaints Handling
  - A/NZS 4360: Risk Management
  - AS ISO 15489: Records Management
- relevant organisation policies and procedures including:
  - plans and policies in various compliance areas
  - organisational standards for operations and ethics

Required skills and attributes include:	• ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities • ability to contribute to a positive culture of compliance within an organisation • ability to source information on compliance requirements • ability to analyse and organise information on compliance requirements • project management skills: - managing other personnel involved in the activity - time management - financial management • communication and interpersonal skills: - written and verbal communication skills - ability to relate to internal and external personnel and in particular those representing relevant regulatory authorities, professional institutes and organisations, standards organisations, etc.
Key competencies or generic skills relevant to this unit	The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit: Level (1) represents the competence to undertake tasks effectively Level (2) represents the competence to manage tasks Level (3) represents the competence to use concepts for evaluating and reshaping tasks The bulleted points provide examples of how the key competencies can be applied for this unit.
Communicating ideas and information (3)	• consulting with others and sharing ideas • communicating with representatives of relevant regulatory authorities
Collecting, analysing and organising information (3)	• gathering and analysing information on relevant compliance requirements • identifying and organising information on compliance requirements
Planning and organising activities (3)	• planning and organising processes for sourcing information on compliance requirements and identifying, interpreting and analysing relevant requirements
Working in a team (2)	• managing the work of others performing specific functions as part of compliance management activities
Using mathematical ideas and techniques (1)	• determining and interpreting any quantitative aspects of compliance requirements

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Solving problems (2)	• solving problems arising in the sourcing, identifying, and interpreting information on compliance requirements
Using technology (2)	• using computers and software packages for the sourcing and identification of information on compliance requirements
Innovation skills (2)	• recognising and creating opportunities for identifying and interpreting compliance requirements
Products that could be used as evidence include:	• work activity plans for sourcing, identifying and interpreting compliance requirements • outcomes of the identification and analysis of compliance requirements • collected information on compliance requirements (published information on relevant legislation, regulations, standards codes of practice and printouts of relevant information sourced on the Internet or on CD-ROM databases) • implementation documentation (records of searches, conversations, schedules, summaries of regulatory requirements, codes of practice, programs, correspondence etc.)
Processes that could be used as evidence include:	• how the organisation's range of operations and sphere of business were identified and confirmed • how information on compliance requirements were sourced • how gathered information in various compliance areas was interpreted, analysed and prioritised and its relevance to the organisation's operations established • how gathered information on compliance requirements was organised, stored and reported • how personnel performing relevant compliance management functions have been managed • how activity to identify and interpret compliance requirements was monitored and evaluated
Resource implications for assessment include:	• access to organisation policies, standard operating procedures, procedures and plans • access to relevant published material on relevant legislation, regulations, licensing requirements, codes of practice, standards, etc. • access to appropriate computer resources for online searching and review of relevant compliance requirements

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Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • full documentation of at least three activities involving the identification and interpretation of specific compliance requirements, either within simulated projects or actual activities developed and implemented
Integrated competency assessment means:	• that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant compliance management units or related records management units

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BSBCOM502A Evaluate and review compliance

Unit Descriptor

This unit covers the evaluation and review of an organisation's compliance program/management system and how it is fulfilling its obligations and responsibilities under applicable compliance requirements. This unit has been designed to be consistent with Australian Standard AS 3806: Compliance Programs.

Competency Field

Business management services

Domain

Compliance management

Application of the Competency

This unit applies to the review activities of managers with responsibility for evaluating and reporting on the operation and effectiveness of an organisation's planned compliance program/management system.

It could be undertaken as part of a broader role of an owner-manager or senior manager in a small organisation, as an external consultant, or as a section or frontline manager in an operational unit within the organisation. It may also be undertaken as a member of a compliance management team or a frontline manager within a larger organisation.

While competence in this unit requires the demonstration of a core of knowledge associated with general evaluation and review techniques, there is also a variable knowledge set related to the range of generic and specific compliance requirements, code(s) of practice, standards and procedures relevant to the person's roles and responsibilities.

This unit is intended to ensure that compliance is an integral part of normal business operations.

Application of this unit must be consistent with the pertinent sections of relevant Australian and international standards and legislative requirements including – AS 3806: Compliance Programs, AS 4269: Complaints Handling, A/NZS: 4360 Risk Management and AS ISO 15489: Records Management.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Develop the evaluation plan	1.1 Details of the organisation's compliance policies, objectives and assessment criteria are obtained

	1.2 Information on current *compliance requirements* applicable to the organisation is obtained and interpreted
	1.3 A suitable *evaluation methodology* is developed to enable sufficiently valid and reliable outcomes for the required research and suitable arrangements for both internal and external monitoring processes
	1.4 The *evaluation plan* for the proposed project is prepared including the detailing of established evaluation criteria and the data to be collected
	1.5 Approval of plan is obtained from relevant internal and/or external personnel
2. Gather required evaluation data	2.1 Relevant *evaluation data* on how the organisation is fulfilling its compliance requirements is collected using appropriate techniques and sources in accordance with the agreed evaluation plan
	2.2 Collected data is organised, interpreted and reviewed against established evaluation criteria including those specified in *relevant Australian and international standards*
	2.3 Ambiguities, uncertainties and problems experienced while interpreting collected data are discussed and addressed appropriately in conjunction with *relevant internal and/or external personnel*
	2.4 Interpreted evaluation data is organised for later analysis
3. Analyse the collected data	3.1 Evaluation data is analysed in accordance with planned methodology
	3.2 Outcomes and findings of the analysis are reviewed and discussed with relevant internal and/or external personnel
4. Determine evaluation findings and outcomes	4.1 Preliminary findings and any identified issues are developed and discussed with relevant internal and/or external personnel
	4.2 Any additional data collection and analysis required to clarify aspects of findings, issues and related action options is undertaken if necessary
	4.3 Recommendations for any action to improve identified deficiencies in compliance are prepared in conjunction with relevant internal or and/ personnel

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5. Document and disseminate the outcomes and recommendations of the evaluation	5.1 A draft report of the outcomes, findings and recommendations of the compliance evaluation is prepared in accordance with the agreed structure and format and distributed to relevant internal and/or personnel for comment and feedback
	5.2 The report is edited based on the feedback obtained
	5.3 The report is proofread in preparation for publishing
	5.4 The report of outcomes, findings and recommendations of the evaluation is signed off by *authorised personnel*
	5.5 The report is produced and disseminated to nominated internal and external personnel in accordance with agreed arrangements

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace may include**:**	• award and enterprise agreements and relevant industrial instruments • relevant legislation from all levels of government that affects business operation, especially in regard to occupational health and safety (OHS) and environmental issues, equal opportunity, industrial relations and anti-discrimination • relevant industry codes of practice
Compliance requirements may include but are not limited to:	• cross-industry, industry-specific and internal organisational compliance requirements in such areas as (examples only in alphabetical groupings): - anti-discrimination (including discrimination by race, sex, disability, religion, etc.), alcohol licensing (licensing regulations covering clubs, pubs, licensed premises, etc.), aviation - bankruptcy - chemical use, child protection, construction, conveyancing/real estate, copyright, corporate governance, customs, credit - education, electricity, environmental protection, equal opportunity - financial services (including banking), fire, food hygiene, freedom of information, freight forwarding - gambling, gene technology - health, human rights

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- insurance, immigration, intellectual property
- land management
- maritime, mining
- pharmaceuticals, patents, privacy
- quarantine
- racing, rail transport, road transport
- safety (includes cross-industry generic regulations as well as industry, equipment or product-specific sub-categories e.g. marine safety, rail safety, food safety, aviation safety, road safety, dangerous goods, construction safety, mine safety, road safety, etc.), security, sewage, superannuation
- taxation, telecommunications, tobacco, trade practices and consumer protection
- water supply, workers compensation, workers rehabilitation

- different types of external and internal compliance requirements including:
  - regulations of a state, national or international regulatory authority
  - accreditation requirements of an institute, professional organisation or registration body
  - requirements for certification under statutory licensing systems
  - statutory standards or codes of practice
  - internal policies, procedures, standards or codes of practice of an organisation

Evaluation methodology may include but is not limited to:

- literature searches including web searches
- collection of operational data
- surveys of relevant internal and external personnel including interviews, focus groups, questionnaires
- desk analysis
- analysis of feedback from clients, suppliers, internal managers and personnel
- analysis of complaints recorded involving compliance requirements
- assessment of information contained in the organisation's management information system
- review of reports from relevant compliance authorities and organisations
- drafting and editing of the evaluation report

Evaluation plan may include but is not limited to:

- details of the applicable compliance requirement and related evaluation criteria
- evaluation methodology

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	• timelines • milestones • resource requirements and related costs • personnel required including evaluation project manager, the evaluation team and those who may be consulted during the course of the evaluation activities
Evaluation data may include but is not limited to:	• published documents including papers, standards, regulations • operational data pertinent to the fulfillment of compliance requirements • documentation on feedback and complaints involving compliance requirements • completed survey questionnaires • records of interviews, meetings or focus group workshop outcomes • written correspondence including letters, faxes, emails • records of telephone conversations • quantitative data collected from various sources
Relevant Australian and international standards may include but are not limited to:	• AS 3806: Compliance Programs • AS 4269: Complaints Handling • A/NZS 4360: Risk Management • AS ISO 15489: Records Management
Relevant internal personnel may include:	• chief executive officer • board of directors • senior management team • frontline managers • compliance management team (where relevant) • compliance specialists at the operational level
Relevant external personnel may include:	• representatives of relevant authorities in pertinent compliance areas • CEOs and managers in organisations with an interest in the compliance issues being researched • representatives of professional associations and institutes relevant to the organisation's operations and sphere of business • legal and business advisors and consultants with expertise and interest in compliance requirements and related management systems
Authorised personnel may include:	• evaluation project manager • evaluation steering committee (where applicable)

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- chief executive officer or manager in an organisation
- nominated representative of a regulatory authority
- nominated representative of a professional association(s) or institute(s)
- nominated representative of a educational institution(s) or organisation(s)

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this standard must be able to provide evidence that they have successfully completed at least one project which comprehensively evaluates how an organisation is fulfilling its compliance requirements.

Evidence will include:

- demonstration of **core** skills and knowledge required in conducting review and evaluation projects generally
- demonstration of the **specific** skills and knowledge that may be uniquely required to carry out the evaluation of an organisation's compliance program/management system and the fulfilment of its compliance requirements in such specific areas as OHS, environmental protection, corporate governance, insurance, transport, credit, food production, banking, etc.
- **Note:** dependent on the size of the type of organisation involved and the scope of compliance requirements relevant to the organisation, the depth, breadth and complexity of skills and knowledge to review and evaluate the compliance program/management system and the fulfilment of specific compliance requirements may vary.

Specific Evidence Requirements

Required knowledge and understanding include:

- evaluation methods and techniques suitable for compliance related evaluation and review projects and activities
- sources of data relevant to compliance related evaluation and review
- relevant Australian and international standards including but not limited to:
  - AS 3806: Compliance Programs
  - AS 4269: Complaints Handling
  - A/NZS 4360: Risk Management
  - AS ISO 15489: Records Management
- quantitative and qualitative data analysis techniques relevant to compliance related evaluation

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- elements of compliance program/management systems including:
  - documentation of compliance requirements relevant to the organisation
  - compliance management functions, accountabilities and responsibilities within the organisation
  - compliance related management information systems
  - record-keeping systems required for compliance management
  - liaison procedures with relevant internal and external personnel on compliance related matters
  - breach management policies and processes including the identification, classification, investigation, rectification and reporting of breaches in compliance requirements
  - compliance reporting procedures
  - corporate induction and training processes related to compliance management
  - processes for the internal and external promulgation and promotion of information on compliance requirements and compliance program/management system
  - compliance complaints handling systems
  - continuous improvement processes for compliance including monitoring, evaluation and review
  - strategies for development of a positive compliance culture within the organisation
  - techniques and performance indicators for monitoring the operation of a compliance program/management system
  - reporting processes on compliance management including reports on breaches and rectification action
- relevant organisational policies and procedures including:
  - compliance plans and policies in various compliance areas
  - organisational standards for operations and ethics

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- ability to contribute to a positive culture of compliance within an organisation

- research and evaluation skills such as:
  - conducting literature searches and web searches
  - analysing and organising evaluation data using appropriate techniques
  - conducting various types of evaluation surveys
  - conducting quantitative data analysis using appropriate techniques
  - using investigative skills to the level needed when evaluating and reviewing compliance
- evaluation project management skills such as:
  - developing project plans
  - managing other personnel involved in the evaluation activity
  - time management
  - financial management
- communication and interpersonal skills:
  - written and verbal communication skills
  - ability to relate to internal and external personnel and in particular those representing relevant regulatory authorities, professional institutes and organisations, standards organisations, etc.

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (3)	• consulting with others and sharing ideas in the course of surveys and other evaluation activities • communicating with internal and/or external client(s) for the evaluation project
Collecting, analysing and organising information (3)	• gathering and analysing data as per evaluation plan • sorting and organising outcomes of data analysis
Planning and organising activities (3)	• preparing the project plan for the evaluation activities
Working in a team (2)	• managing the work of others performing specific functions as part of a compliance related evaluation project
Using mathematical ideas and techniques (3)	• conducting quantitative data analysis within a compliance related evaluation project

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Solving problems (3)	• solving problems arising in the conduct of a compliance related evaluation project
Using technology (3)	• using computers and software packages for the collection, processing and analysis of evaluation data
Innovation skills (3)	• recognising and creating opportunities for innovative data analysis activities that may improve the efficiency, reliability and validity of the evaluation processes and outcomes
Products that could be used as evidence include:	• evaluation plan • outcomes of the data collection processes • summaries of the outcomes of data analysis • diaries and other records of evaluation processes used • draft and final evaluation reports
Processes that could be used as evidence include:	• how the literature and web searches were conducted • how data collection methods were implemented • how data analysis was conducted • how feedback on draft findings, issues and recommendations was obtained and interpreted • how personnel performing relevant compliance evaluation activities have been managed • how evaluation report was drafted and edited
Resource implications for assessment include:	• access to relevant published material and such as: - organisational policies, standard operating procedures, procedures and plans - relevant legislation, regulations, licensing requirements, codes of practice, standards • access to the relevant internal and external data files • access to appropriate computer resources for online searching, data processing and analysis and report preparation and editing
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • full documentation of the successful conduct of at least one evaluation project. This may be a suitably simulated evaluation project or an actual compliance evaluation project

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Integrated competency assessment means:	• that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant compliance management units or related records management units

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BSBCOM503A Develop processes for the management of breaches in compliance requirements

Unit Descriptor

This unit covers the development and monitoring of the processes for managing identified breaches in the fulfilment of compliance requirements within an organisation. The breach management processes will be as defined within the compliance program and policies established by the organisation concerned and will cover the identification, classification, investigation, rectification and reporting of breaches in compliance requirements. The unit has been designed to be consistent with Australian Standard AS 3806: Compliance Programs.

Competency Field

Business management services

Domain

Compliance management

Application of the Competency

This unit could be undertaken as part of a broader role of a chief executive or senior manager in a small organisation, or as a compliance officer or senior manager within a larger organisation.

While competence in this unit requires the demonstration of a core of knowledge associated with the general principles and processes of compliance breach management, there is also a variable knowledge set related to the specific legislative requirements, code(s) of practice and internal standards, and associated breach management procedures relevant to the operations and sphere of business of the organisation and/or industry sector concerned.

This unit is intended to ensure that compliance is an integral part of normal business operations.

Application of this unit must be consistent with the pertinent sections of relevant Australian and international standards and legislative requirements including – AS 3806: Compliance Programs, AS 4269: Complaints Handling, A/NZS: 4360 Risk Management and AS ISO 15489: Records Management.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Develop procedures for responding to breaches in internal and external	1.1 Information on current *compliance requirements* applicable to the organisation is obtained and interpreted

	1.2 Each area of compliance requirement is reviewed to establish potential breaches
	1.3 Appropriate procedures for identifying, classifying, investigating, rectifying and reporting breaches in compliance requirements are developed and documented in accordance with the organisation's compliance policy and *relevant Australian and international standards* related to compliance management
2. Monitor adherence to compliance requirements	2.1 Organisation operations are monitored and evaluated to identify incidences of breaches of compliance requirements
	2.2 Complaints and other *sources of information on potential breaches of compliance requirements* are reviewed and evaluated
	2.3 Compliance management information system is interrogated to identify any indication of a breach in compliance requirements
3. Manage the identification and rectification of a breach in compliance	3.1 Appropriate staff are assigned to take the required action to identify, classify, investigate and rectify breaches in compliance requirements
	3.2 Senior management team within the organisation is kept appraised of any breach in compliance requirements
4. Liaise with relevant personnel and organisations during breach management	4.1 Liaison is maintained with *relevant regulatory authorities and other organisations with an interest in compliance* in regard to breaches in requirements and related action being taken
	4.2 Advice from *relevant internal and external personnel* on the management of a breach in compliance requirements is taken and acted upon appropriately
5. Evaluate the response to and rectification of a breach in compliance	5.1 Action taken to manage and rectify an identified breach in compliance requirements is monitored in terms of the organisation's compliance policy
	5.2 Success in rectification of a compliance breach is confirmed and relevant internal and external personnel are notified
	5.3 A problem in the rectification of a compliance breach is recognised and appropriate action is initiated to ensure that management of the breach is maintained
	5.4 Reports of systemic and recurring problems of non-compliance are referred to those with sufficient authority to correct them

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6. Document and disseminate the breach management activities and outcomes	6.1 Identified breaches of compliance requirements are documented and reported in accordance with relevant internal and external requirements
	6.2 Records of breaches in compliance requirements are maintained and stored in accordance with relevant internal and external requirements
	6.3 Action taken to rectify identified breaches in compliance requirements and the outcomes of that action is reported in accordance with relevant internal and external requirements
	6.4 Reports on breach management are disseminated to relevant internal and external personnel

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace may include**:**	• award and enterprise agreements and relevant industrial instruments • relevant legislation from all levels of government that affects business operation, especially in regard to occupational health and safety (OHS) and environmental issues, equal opportunity, industrial relations and anti-discrimination • relevant industry codes of practice
Compliance requirements may include but are not limited to:	• cross-industry, industry-specific and internal organisational compliance requirements in such areas as (examples only in alphabetical groupings): - anti-discrimination (including discrimination by race, sex, disability, religion, etc.), alcohol licensing (licensing regulations covering clubs, pubs, licensed premises, etc.), aviation - bankruptcy - chemical use, child protection, construction, conveyancing/real estate, copyright, corporate governance, customs, credit - education, electricity, environmental protection, equal opportunity - financial services (including banking), fire, food hygiene, freedom of information, freight forwarding - gambling, gene technology - health, human rights - insurance, immigration, intellectual property - land management

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- maritime, mining
- pharmaceuticals, patents, privacy
- quarantine
- racing, rail transport, road transport
- safety (includes cross-industry generic regulations as well as industry, equipment or product-specific sub-categories e.g. marine safety, rail safety, food safety, aviation safety, road safety, dangerous goods, construction safety, mine safety, road safety, etc.), security, sewage, superannuation
- taxation, telecommunications, tobacco, trade practices and consumer protection
- water supply, workers compensation, workers rehabilitation

- different types of external and internal compliance requirements including:
  - regulations of a state, national or international regulatory authority
  - accreditation requirements of an institute, professional organisation or registration body
  - requirements for certification under statutory licensing systems
  - statutory standards or codes of practice
  - internal policies, procedures, standards or codes of practice of an organisation

Relevant Australian and international standards (related to compliance management) may include but are not limited to:

- AS 3806: Compliance Programs
- AS 4269: Complaints Handling
- A/NZS 4360: Risk Management
- AS ISO 15489: Records Management

Sources of information on potential breaches of compliance requirements may include but are not limited to:

- feedback from clients, suppliers
- feedback from organisation managers and operations personnel
- reports from regulatory authorities and other organisations with and interest in compliance
- internal audit reports
- external reviews of organisation operations

Relevant regulatory authorities and other organisations with an interest in compliance may include but are not limited to:

- internal audit managers within the organisation
- regulatory authorities
- organisations
- government departments
- professional associations and institutes
- educational institutions and organisations

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Relevant internal and external personnel may include but are not limited to:	• chief executive officer • board of directors • senior management team • frontline managers • compliance management team (where relevant) • compliance specialists at the operational level • representatives of relevant authorities in pertinent compliance areas • chief executives and managers in organisations with an interest in the compliance issues being researched • representatives of professional associations and institutes relevant to the organisation's operations and sphere of business • legal and business advisors and consultants with expertise and interest in compliance requirements and related management systems

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this standard must be able to provide evidence that they have successfully developed and monitored processes for managing breaches in compliance requirements in an organisation, and that they have oversighted the management of at least three real or simulated breaches of compliance requirements

Evidence will include:

- demonstration of **core** skills and knowledge required when developing and monitoring management processes for identified breaches in compliance requirements
- demonstration of the **specific** skills and knowledge that may be uniquely required to develop and monitor management processes for identified breaches in compliance requirements in particular areas such as OHS, environmental protection, corporate governance, insurance, transport, credit, food production, banking, etc., and/or on specific issues such as impact of compliance, costs of compliance, risks of non-compliance, scope of compliance requirements, etc.

Note: dependent on the size of the type of organisation involved and the scope of compliance requirements relevant to the organisation, the depth, breadth and complexity of skills and knowledge to manage identified breaches in compliance requirements may vary.

Specific Evidence Requirements

Required knowledge and understanding include:

- compliance requirements applicable to the organisation
- potential breaches in compliance requirements
- sections of relevant Australian and international standards dealing with aspects of breach management processes and responsibilities including but not limited to:
  - AS 3806: Compliance Programs
  - AS 4269: Complaints Handling
  - A/NZS 4360: Risk Management
  - AS ISO 15489: Records Management
- analysis techniques relevant to the review and interpretation of an identified breach in compliance requirements
- internal and external personnel with an interest in compliance
- planning processes of the organisation
- elements of compliance program/management system including:
  - documentation of compliance requirements relevant to the organisation
  - specification of compliance management functions, accountabilities and responsibilities within the organisation
  - compliance related management information systems
  - record-keeping systems required for compliance management
  - liaison procedures with relevant internal and external personnel on compliance related matters
  - breach management policies and processes including the identification, classification, investigation, rectification and reporting of breaches in compliance requirements
  - compliance reporting procedures
  - corporate induction and training processes related to compliance management
  - processes for the internal and external promulgation and promotion of information on compliance requirements and compliance program/management system
  - compliance complaints handling systems

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- continuous improvement processes for compliance including monitoring, evaluation and review
- strategies for development of a positive compliance culture within the organisation
- techniques and performance indicators for monitoring the operation of a compliance/program management system
- reporting processes on compliance management including reports on breaches and rectification action

• relevant organisational policies and procedures including:
- procedures for breaches in compliance requirements
- compliance plans and policies in various compliance areas
- organisational standards for operations and ethics

Required skills and attributes include:

• ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
• ability to contribute to a positive culture of compliance within an organisation
• skills to develop and monitor processes to manage breaches in compliance requirements, including:
- determining compliance requirements applicable to the organisation
- sourcing information on breach management systems suitable for the organisation
- developing a breach management system and related procedures
- managing other personnel dealing with identified breaches of compliance requirements
- documenting breach management procedures
- applying investigative skills to the level required
• communication and interpersonal skills:
- written and verbal communication skills
- ability to relate to internal and external personnel and in particular those representing relevant regulatory authorities, professional institutes and organisations, standards organisations, etc.

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Key competencies or generic skills relevant to this unit	The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit: Level (1) represents the competence to undertake tasks effectively Level (2) represents the competence to manage tasks Level (3) represents the competence to use concepts for evaluating and reshaping tasks The bulleted points provide examples of how the key competencies can be applied for this unit.
Communicating ideas and information (3)	• consulting with others and sharing ideas in the course of establishing and organising breach management procedures • communicating with internal and/or external personnel about breaches in compliance requirements and related management action
Collecting, analysing and organising information (3)	• gathering and analysing information on compliance requirements • recognising and evaluating action taken to deal with breaches in compliance requirements
Planning and organising activities (3)	• planning and organising breach management system
Working in a team (3)	• managing the work of others involved in rectifying an identified breach in compliance requirements
Using mathematical ideas and techniques (2)	• carrying out any mathematical calculations needed during the planning and organising of breach management procedures
Solving problems (3)	• solving problems arising in the planning and organising of breach management procedures
Using technology (3)	• using computers and software packages when planning and organising breach management procedures
Innovation skills (3)	• taking appropriate initiatives when planning and organising breach management procedures
Products that could be used as evidence include:	• documented plans for the compliance breach management system and procedures • records of the operation of the breach management system • reports on the management of identified breaches in compliance requirements • diaries and other records of breach management activities

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Processes that could be used as evidence include:	• how the applicable compliance requirements were determined • how potential breaches in compliance were established • how information on possible breaches of compliance requirements was sourced and analysed • how personnel were trained and briefed on breach management processes • how the breach management system was planned and organised • how liaison with relevant internal and external personnel was maintained • how breaches and related breach management action were reported to relevant internal and external personnel
Resource implications for assessment include:	• access to relevant information on compliance requirements such as: - organisational policies, standard operating procedures, procedures and plans - relevant legislation, regulations, licensing requirements, codes of practice, standards • access to the relevant internal and external data files • access to relevant internal and external personnel • access to appropriate computer resources needed for the management of identification and rectification of breaches in compliance requirements
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • full documentation of the successful real or simulated planning, organisation and operation of a compliance breach management process within an organisation • oversighting the management of at least three real or simulated breaches of compliance requirements
Integrated competency assessment means:	• that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant compliance management units or related records management units

BSBCOM504A Create a culture of compliance within an organisation

Unit Descriptor

This unit covers the creation and promotion of an effective and positive culture of compliance within an organisation. It has been designed to be consistent with Australian Standard AS 3806: Compliance Programs.

Competency Field

Business management services

Domain

Compliance management

Application of the Competency

This unit could be undertaken as a member of senior management team or compliance management team in a large organisation, or as part as part of a broader role of a senior manager, owner-manager or chief executive in a small organisation. It could also be undertaken by an internal or external consultant as part of a broader advisory role to a chief executive officer or management team of a large or small organisation on matters related to the organisation's compliance management policies and systems.

This unit is intended to ensure that compliance is an integral part of normal business operations.

Application of this unit must be consistent with the pertinent sections of relevant Australian and international standards and legislative requirements including – AS 3806: Compliance Programs, AS 4269: Complaints Handling, A/NZS: 4360 Risk Management and AS ISO 15489: Records Management.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Review culture of compliance within the organisation	1.1 Existing *culture of compliance* within the organisation is reviewed using *appropriate methods*
	1.2 Future vision for a positive culture of compliance within the organisation consistent with AS 3806 is determined using appropriate collaborative and consultative methods and processes
	1.3 Strategies for achieving the agreed culture of compliance are developed and implemented

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2. Promote the inclusion of consideration of compliance within managerial decision-making and planning	2.1 *Compliance requirements* applicable to the organisation are confirmed and interpreted
	2.2 Management decisions and plans are reviewed to confirm that due account is taken of compliance requirements and the strategy for achieving the agreed culture of compliance
3. Promote appropriate priority for compliance within policies, budgets, resource allocation	3.1 Implications of non-compliance with requirements are determined and analysed
	3.2 Cost-benefits of an effective *compliance program/management system* for the organisation are assessed and discussed with the management team of the organisation
	3.3 Policies, budgets and resource allocation are adjusted in conjunction with the management team to ensure that appropriate provision and priority is given to compliance management
4. Provide leadership in compliance management	4.1 Appropriate support is given to management and operational staff in their compliance management activities
	4.2 Responsibility, vigilance, and diligence in contributing to the effective operation and maintenance of the organisation's compliance program/management system is demonstrated
	4.3 A visible commitment to effective fulfilment of the organisation's compliance policies, responsibilities and obligations is demonstrated
	4.4 The requirements of *relevant Australian and International standards* related to compliance policies and programs are visibly applied to work role and functions
	4.5 Performance standards for the compliance program within the organisation are clearly defined and communicated to relevant management and operational staff
	4.6 A strong positive culture of compliance is promoted amongst staff and external contractors, suppliers, consultants and others who make a contribution to the organisation's operations, services and products

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5. Provide feedback to managers and operational staff on compliance management	5.1 Achievements and performance of management and operational staff in managing compliance are monitored and noted
	5.2 *Evidence of a positive culture of compliance* within the organisation and its operational and management units is gathered and analysed
	5.3 Feedback is provided to management and operational staff on their achievements and performance in managing compliance
	5.4 Appropriate assistance is provided to managers and operational staff where their compliance management performance is found to be below established organisation standards
6. Contribute to formal and informal learning about compliance requirements and management	6.1 Competencies required for compliance management functions are identified and interpreted
	6.2 Competency deficiencies in compliance areas amongst management and operational staff are identified, and appropriate remedial action is initiated through counselling and training
	6.3 Compliance management training needs are identified using appropriate assessment methods
	6.4 Formal and informal learning opportunities are organised for management and operational staff in accordance with identified needs and organisational policy
	6.5 Assessment of management and operational staff during and after learning activities is carried out to confirm that required compliance management competencies and related knowledge have been demonstrated
7. Encourage good practice in compliance management	7.1 Management and operational staff are shown how to, and are given appropriate encouragement to maintain *situation awareness*, recognise *breaches in compliance requirements* and initiate prompt action to rectify any identified breaches
	7.2 Guidance is provided to management and operational staff on the use of the organisation's management information system to monitor ongoing fulfilment of compliance requirements
	7.3 A spirit of cooperative commitment to compliance management and fulfilment of compliance obligations and responsibilities is cultivated amongst the management and operational teams within the organisation

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Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace may include**:**	• award and enterprise agreements and relevant industrial instruments • relevant legislation from all levels of government that affects business operation, especially in regard to occupational health and safety (OHS) and environmental issues, equal opportunity, industrial relations and anti-discrimination • relevant industry codes of practice
Culture of compliance means:	• the promotion of a positive attitude to compliance within the organisation (as defined in Australian Standard AS 3806: Compliance Programs)
Appropriate methods (for reviewing the existing culture of compliance within the organisation and for gaining agreement on the future vision for a culture of compliance) may include but are not limited to:	• surveys (interviews and meetings across the organisation) • workshops and seminars • written inputs and submissions • teleconferences and video conferences • web-based interactive input such as emails and chat rooms
Compliance requirements may include but are not limited to:	• cross-industry, industry-specific and internal organisational compliance requirements in such areas as (examples only in alphabetical groupings): - anti-discrimination (including discrimination by race, sex, disability, religion, etc.), alcohol licensing (licensing regulations covering clubs, pubs, licensed premises, etc.), aviation - bankruptcy - chemical use, child protection, construction, conveyancing/real estate, copyright, corporate governance, customs, credit - education, electricity, environmental protection, equal opportunity - financial services (including banking), fire, food hygiene, freedom of information, freight forwarding - gambling, gene technology - health, human rights - insurance, immigration, intellectual property - land management - maritime, mining

  - pharmaceuticals, patents, privacy
  - quarantine
  - racing, rail transport, road transport
  - safety (includes cross-industry generic regulations as well as industry, equipment or product-specific sub-categories e.g. marine safety, rail safety, food safety, aviation safety, road safety, dangerous goods, construction safety, mine safety, road safety, etc.), security, sewage, superannuation
  - taxation, telecommunications, tobacco, trade practices and consumer protection
  - water supply, workers compensation, workers rehabilitation
- different types of external and internal compliance requirements including:
  - regulations of a state, national or international regulatory authority
  - accreditation requirements of an institute, professional organisation or registration body
  - requirements for certification under statutory licensing systems
  - statutory standards or codes of practice
  - internal policies, procedures, standards or codes of practice of an organisation

Compliance program/management system may include but is not limited to:

- documentation of compliance requirements relevant to the organisation
- specification of compliance management responsibilities within the organisation
- compliance related management information systems
- record-keeping systems required for compliance management
- liaison procedures with relevant internal and external personnel on compliance related matters
- breach management policies and processes including the identification, classification, investigation, rectification and reporting of breaches in compliance requirements
- compliance reporting procedures
- corporate induction and training processes related to compliance management
- processes for the internal and external promulgation of information on compliance requirements and compliance program/management system
- compliance complaints handling systems

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	• continuous improvement processes for compliance including monitoring, evaluation and review • strategies for development of a positive compliance culture within the organisation • techniques and performance indicators for monitoring the operation of a compliance program/management system • reporting processes on compliance management including reports on beaches and rectification action
Relevant Australian and international standards may include but are not limited to:	• AS 3806: Compliance Programs • AS 4269: Complaints Handling • A/NZS 4360: Risk Management • AS ISO 15489: Records Management
Evidence of a positive culture of compliance may include but is not limited to:	• collaboration in identifying and rectifying breaches in compliance requirements • cooperative commitment to taking appropriate avoidance measures to prevent a breach in applicable compliance requirements • effective teamwork among and between management and operational teams in the implementation of the organisation's compliance program/management system • individual and collective awareness of potential consequences of breaches in compliance program/management systems • individual and collective vigilance in monitoring, detecting, classifying, investigating, rectifying and reporting any situations that might lead to a breach in compliance requirements • commitment of individuals to understanding and fulfilling their own roles and responsibilities within the organisation's compliance program/management system • commitment among managers and operational staff to assisting others in the organisation to understand and fulfil their roles and responsibilities within the organisation's compliance program/management system • contribution to the identification and implementation of improvements to the organisation's compliance program/management system
Situation awareness may include but is not limited to:	• maintaining an awareness of signs within the operational or management environment of an organisation that may indicate a potential or actual breach in compliance requirements

	• monitoring changes in the operational or management environment of an organisation that may create a risk to the organisation's capacity to continue to fulfil its applicable compliance requirements • checking one's own work processes and outputs to ensure that compliance requirements are being fulfilled
Breaches in compliance requirements may include but are not limited to:	• failures by an organisation to fulfil compliance obligations and responsibilities under applicable laws, regulations, codes or organisational standards

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this standard must be able to provide evidence that they are able to successfully contribute to the cultivation of a culture of compliance within an organisation by undertaking at least three appropriate activities. This may be as a CEO, senior manager, compliance officer, internal compliance researcher, or as a member of a compliance management team (usually within a larger organisation).

Evidence will include:

- demonstration of **core** skills and knowledge required in developing an overall positive culture of compliance
- demonstration of the **specific** skills and knowledge that may be uniquely required to develop a positive culture of compliance in particular compliance areas such as OHS, environmental protection, corporate governance, insurance, transport, credit, food production, banking, etc.

Note: dependent on the scope and type of compliance requirements involved and the size and nature of the organisation, the depth, breadth and complexity of skills and knowledge to contribute effectively to the creation of a culture of compliance may vary.

Specific Evidence Requirements

Required knowledge and understanding include:	• various types of cultures of compliance that may exist within organisations and the desirable positive culture of compliance as indicated in Australian Standard AS 3806: Compliance Programs • compliance requirements for the organisation • relevant Australian and international standards including but not limited to: - AS 3806: Compliance Programs - AS 4269: Complaints Handling

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  - A/NZS 4360: Risk Management
  - AS ISO 15489: Records Management
- internal and external personnel with an interest in the organisation's compliance program/management system
- strategies and techniques to contribute to the creation of a culture of compliance within the organisation such as:
  - methods of surveying the organisation to determine its existing culture of compliance
  - methods of obtaining agreement on a future vision for the culture of compliance
  - strategies for achieving an agreed culture of compliance within the organisation
  - techniques suitable for creating a culture of compliance within the organisation
- elements of a compliance program/management system including:
  - documentation of compliance requirements relevant to the organisation
  - specification of compliance management functions, accountabilities and responsibilities within the organisation
  - compliance related management information systems
  - record-keeping systems required for compliance management
  - liaison procedures with relevant internal and external personnel on compliance related matters
  - breach management policies and processes including the identification, classification, investigation, rectification and reporting of breaches in compliance requirements
  - compliance reporting procedures
  - corporate induction and training processes related to compliance management
  - processes for the internal and external promulgation and promotion of information on compliance requirements and compliance program/management system
  - compliance complaints handling systems

- continuous improvement processes for compliance including monitoring, evaluation and review
- strategies for development of a positive compliance culture within the organisation
- techniques and performance indicators for monitoring the operation of a compliance program/management system
- reporting processes on compliance management including reports on breaches and rectification action

- relevant organisational policies and procedures including:
  - compliance plans and policies in various compliance areas
  - organisational standards for operations and ethics

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- ability to contribute to a positive culture of compliance within an organisation
- skills to contribute to the creation of a culture of compliance within the organisation including:
  - surveying the organisation to determine the existing culture of compliance
  - consulting collaboratively to determine an agreed future vision for the culture of compliance
  - providing leadership including providing assistance and guidance on compliance matters
  - working collaboratively on the implementation of compliance management procedures
  - contributing to formal and informal learning within the organisation
  - providing feedback to others on performance

  creating and working within a team environment
- communication and interpersonal skills:
  - written and verbal communication skills
  - ability to relate to relevant internal and external personnel on compliance issues

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Key competencies or generic skills relevant to this unit	The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit: Level (1) represents the competence to undertake tasks effectively Level (2) represents the competence to manage tasks Level (3) represents the competence to use concepts for evaluating and reshaping tasks The bulleted points provide examples of how the key competencies can be applied for this unit.
Communicating ideas and information (3)	• consulting with others and sharing ideas in the course creating and promoting a culture of compliance • communicating with internal and/or external client(s)
Collecting, analysing and organising information (3)	• obtaining information on management and operational teams performance • sorting and organising information on applicable compliance requirements and related management systems and disseminating it to others
Planning and organising activities (3)	• organising activities that cultivate a culture of compliance
Working in a team (3)	• encouraging team members to adopt a proactive and collaborative approach to compliance management
Using mathematical ideas and techniques (3)	• providing any statistical information to others that assists in building an understanding of risks to compliance and the benefits of compliance management
Solving problems (3)	• solving any problems that may arise when endeavouring to create culture of compliance, such as attitudes of indifference or 'it's not my job'
Using technology (3)	• using communications technology to share information that contributes to a culture of compliance in the organisation
Innovation skills (3)	• recognising and creating opportunities for innovative ways of actively involving people in understanding compliance requirements and related compliance management processes

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Products that could be used as evidence include:	• summaries of meetings to discuss compliance issues • information on formal and informal training programs aimed at building a collective understanding of compliance requirements and related management processes • plans for initiatives aimed at encouraging people to be part of and contribute to a culture of compliance within the organisation • diaries and other records of activities aimed at cultivating a culture of compliance within the organisation
Processes that could be used as evidence include:	• how the activities aimed at cultivating a culture of compliance within the organisation were organised • how formal and informal training programs aimed at building a collective understanding of compliance requirements and related management processes were organised • how leadership on compliance management has been provided to others • how feedback on performance in compliance management has been provided to others • how assistance was provided to others to help them better understand and implement compliance management policies and processes
Resource implications for assessment include:	• access to relevant published material and such as: - organisational policies, standard operating procedures, procedures and plans - relevant legislation, regulations, licensing requirements, codes of practice, standards • access to the relevant internal and external personnel • access to appropriate computer and communication resources
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • full documentation of the successful demonstration of at least three activities aimed at cultivating a culture of compliance within an organisation. These may be suitably simulated activities or actual activities undertaken as part of daily management functions

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Integrated competency assessment means:	• that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant compliance management units or related records management units

BSBCOM601A Research compliance requirements and issues

Unit Descriptor

This unit covers the research activities needed to explore and investigate various aspects and issues associated with compliance requirements and a related compliance program/management system. It may be focused on researching aspects and issues to do with compliance requirements and system for a specific organisation, or aspects and issues of compliance more generally, such as across a particular industry or the national economy.

Competency Field

Business management services

Domain

Compliance management

Application of the Competency

This unit applies to the higher-level research activities needed to identify and investigate critical aspects of compliance requirements and related systems.

It could be undertaken by officers in regulatory authorities or other organisations with roles and responsibilities related to identifying and investigating impacts, issues and policy implications of various aspects of compliance. It also covers the competencies required by an internal or external consultant who carries out research activities for clients on various aspects of compliance.

While competence in this unit requires the demonstration of a core of knowledge associated with the general research processes generally, there is also a variable knowledge set related to the range of generic and specific legislative requirements, code(s) of practice, standards and procedures relevant to the person's roles and responsibilities.

This unit differs from BSBCOM501A Identify and interpret compliance requirements, as the research activities involve higher-order competence aimed at carrying out research into a wide potential range of compliance related aspects and issues, such as the costs of compliance, the potential impact of compliance on an organisation or industry, and the risks and consequences of non-compliance. In contrast, BSBCOM501A is more narrowly focused on identifying and interpreting the specific legislative requirements, code(s) of practice and internal standards and procedures as these relate to a particular organisation.

This unit is intended to ensure that compliance is an integral part of normal business operations.

Application of this unit must be consistent with the pertinent sections of relevant Australian and international standards and legislative requirements including – AS 3806: Compliance Programs, AS 4269: Complaints Handling, A/NZS: 4360 Risk Management and AS ISO 15489: Records Management.

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Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Clarify the purpose and scope of the research	1.1 The *purpose and scope of the required compliance related research* is confirmed and clarified in collaboration with the *client(s)* and relevant *internal and/or external personnel* 1.2 The purpose and scope of the required research is documented in accordance with organisational and/or client requirements
2. Develop the research plan	2.1 A suitable *research methodology* is developed to enable sufficiently valid and reliable outcomes for the required research 2.2 The *research plan* for the proposed project is prepared 2.3 Approval of plan is obtained from relevant internal and/or external personnel
3. Gather required research data	3.1 Relevant *research data* is collected using appropriate research techniques and sources in accordance with the agreed research plan 3.2 Information on *relevant Australian and International standards* pertaining to compliance requirements and related systems is gathered and interpreted from appropriate sources 3.3 Collected data is organised, interpreted and reviewed in terms of its relevance to the project's purpose and objectives 3.4 Ambiguities, uncertainties and problems experienced while interpreting collected data are discussed and addressed appropriately in conjunction with relevant internal or external personnel 3.5 Interpreted research data is organised for later analysis
4. Analyse the collected data	4.1 Data is analysed in accordance with planned methodology 4.2 Outcomes of the analysis are reviewed and discussed with relevant internal or external personnel

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5. Determine research findings and outcomes	5.1 The outcomes of the analysis of data are interpreted in accordance with the project objectives
	5.2 Preliminary findings, any identified issues and related recommendations are developed and discussed with relevant internal and/or external personnel
	5.3 Any additional data collection and analysis required to clarify aspects of findings, issues and related action options is undertaken if necessary
6. Document and disseminate the outcomes of the research	6.1 A draft report of the outcomes, findings and recommendations of the research is prepared in accordance with the agreed structure and format, and distributed to relevant internal and/or external personnel for comment and feedback
	6.2 The report is edited based on the feedback obtained
	6.3 The report is proofread prior to publication
	6.4 The report of outcomes, findings and recommendations of the research is signed off by *authorised personnel*
	6.5 The report is produced and disseminated to nominated internal and/or external personnel in accordance with agreed arrangements

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace may include**:**	• award and enterprise agreements and relevant industrial instruments • relevant legislation from all levels of government that affects business operation, especially in regard to occupational health and safety (OHS) and environmental issues, equal opportunity, industrial relations and anti-discrimination • relevant industry codes of practice
Purpose and scope of compliance related research may include but is not limited to:	• potential impacts of compliance requirements upon an organisation, an industry or an economy • program and system requirements for effective compliance management • costs of compliance at the organisation or wider levels • potential consequences of non-compliance at the organisation or wider levels • skill requirements and organisational structures for effective compliance management

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- investigation of relevant jurisdictional aspects of compliance covering:
  - organisational issues
  - industry issues
  - local issues
  - state issues
  - national issues
  - global issues

Client(s) for the research may include but are not limited to:

- regulatory authorities
- enterprises
- government departments
- professional associations and institutes
- educational institutions and organisations

Relevant internal and/or external personnel might include but are not limited to:

- chief executive officer
- board of directors
- senior management team
- frontline managers
- compliance management team (where relevant)
- compliance specialists at the operational level
- representatives of relevant authorities in pertinent compliance areas
- chief executives and managers in organisations with an interest in the compliance issues being researched
- representatives of professional associations and institutes relevant to the organisation's operations and sphere of business
- legal and business advisors and consultants with expertise and interest in compliance requirements and related management systems

Research methodology may include but is not limited to:

- literature searches including web searches
- environmental scans
- surveys including interviews, focus groups, questionnaires
- desk analysis
- quantitative data analysis using manual and computerised techniques
- qualitative data analysis

Research plan may include but is not limited to:

- details of the research objectives and deliverables
- methodology
- timelines and milestones
- costs

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	• personnel required including project manager, the researcher or research team and those who may be consulted during the course of the research activities
Research data may include but is not limited to:	• published documents including papers, standards, regulations • document files downloaded from Internet websites • completed survey questionnaires • records of interviews, meetings or focus group workshop outcomes • written correspondence including letters, faxes, emails • records of telephone conversations • quantitative data collected from various sources, such as ABS data, data provided by regulatory authorities, demographic data
Relevant Australian and international standards may include but are not limited to:	• AS 3806: Compliance Programs • AS 4269: Complaints Handling • A/NZS 4360: Risk Management • AS ISO 15489: Records Management
Authorised personnel may include but are not limited to:	• project manager • project steering committee • chief executive officer or manager in an organisation • nominated representative of a regulatory authority • nominated representative of a professional association(s) or institute(s) • nominated representative of a educational institution(s) or organisation(s)

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this standard must be able to provide evidence that they have successfully completed at least three projects aimed at researching key aspects or issues associated with compliance requirements or a compliance program/management system. The research project(s) may be undertaken externally for an organisation such as a larger organisation or a regulatory authority, or internally within an organisation as a compliance officer, internal compliance researcher, or member of a compliance management team (usually within a larger organisation).

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Evidence will include:

- demonstration of **core** skills and knowledge required in conducting research projects
- demonstration of the **specific** skills and knowledge that may be uniquely required to carry out research in particular compliance areas such as insurance, transport, credit, food production, banking, etc., and/or on specific issues such as impact of compliance, costs of compliance, risks of non-compliance, scope of compliance requirements.
- **Note:** dependent on the size of the type of research involved and the scope of its purpose and objectives, the depth, breadth and complexity of skills and knowledge to conduct compliance related research may vary.

Specific Evidence Requirements

Required knowledge and understanding include:

- research methods and techniques suitable for compliance related research projects
- sources of data relevant to compliance related research
- quantitative and qualitative data analysis techniques relevant to compliance related research
- relevant Australian and international standards including but not limited to:
  - AS 3806: Compliance Programs
  - AS 4269: Complaints Handling
  - A/NZS 4360: Risk Management
  - AS ISO 15489: Records Management
- compliance requirements relevant to the organisation
- elements of compliance program/management systems including:
  - specification of compliance management functions, accountabilities and responsibilities within the organisation
  - compliance related management information systems
  - record-keeping systems required for compliance management
  - liaison procedures with relevant internal and external personnel on compliance related matters
  - breach management policies and processes including the identification, classification, investigation, rectification and reporting of breaches in compliance requirements
  - compliance reporting procedures
  - corporate induction and training processes related to compliance management

- processes for the internal and external promulgation and promotion of information on compliance requirements and compliance program/management system
- compliance complaints handling systems
- continuous improvement processes for compliance including monitoring, evaluation and review
- strategies for development of a positive compliance culture within the organisation
- techniques and performance indicators for monitoring the operation of a compliance program/management system
- reporting processes on compliance management including reports on breaches and rectification action

- relevant organisational policies and procedures including:
  - compliance plans and policies in various compliance areas
  - organisational standards for operations and ethics

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- ability to contribute to a positive culture of compliance within an organisation
- research skills to:
  - conduct literature and web searches
  - conduct various types of research surveys
  - analyse and organise research data, including qualitative and quantitative data, using appropriate techniques
- research management skills to:
  - develop research plans
  - manage other personnel involved in the research activity
  - manage time
  - manage finances
- communication and interpersonal skills:
  - written and verbal communication skills
  - ability to relate to internal and external personnel and in particular those representing relevant regulatory authorities, professional institutes and organisations, standards organisations, etc.

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Key competencies or generic skills relevant to this unit	The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit: Level (1) represents the competence to undertake tasks effectively Level (2) represents the competence to manage tasks Level (3) represents the competence to use concepts for evaluating and reshaping tasks The bulleted points provide examples of how the key competencies can be applied for this unit.
Communicating ideas and information (3)	• consulting with others and sharing ideas in the course of surveys and other research activities • communicating with internal and/or external client(s) for the research project
Collecting, analysing and organising information (3)	• gathering and analysing data as per research plan • sorting and organising outcomes of data analysis
Planning and organising activities (3)	• preparing the project plan for the research activities
Working in a team (2)	• managing the work of others performing specific functions as part of a compliance related research project
Using mathematical ideas and techniques (3)	• conducting quantitative data analysis within a compliance related research project
Solving problems (3)	• solving problems arising in the conduct of a compliance related research project
Using technology (3)	• using computers and software packages for the collection, processing and analysis of research data
Innovation skills (3)	• recognising and creating opportunities for innovative data analysis activities that may improve the efficiency, reliability and validity of the research processes and outcomes
Products that could be used as evidence include:	• research plans • outcomes of the data collection processes • summaries of the outcomes of data analysis • diaries and other records of research processes used • draft and final research reports
Processes that could be used as evidence include:	• how the literature and web searches were conducted • how data collection methods were implemented • how data analysis was conducted • how feedback on draft findings, issues and recommendations was obtained and interpreted

	• how personnel performing relevant compliance research activities were managed • how research report was drafted and edited
Resource implications for assessment include:	• access to relevant published material such as: - organisational policies, standard operating procedures, procedures and plans - relevant legislation, regulations, licensing requirements, codes of practice, standards • access to the relevant internal and external data files • access to appropriate computer resources for online searching, data processing and analysis, and report preparation and editing
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • full documentation of the successful conduct of at least three compliance related research projects. These may be suitably simulated projects or actual research projects planned and implemented for internal or external clients
Integrated competency assessment means:	• that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant compliance management units or related records management units

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BSBCOM602A Develop and create compliance requirements

Unit Descriptor

This unit covers the development and creation of compliance requirements. This may include the development of **internal** compliance requirements by managers and staff within an organisation, for example internal policies, standard operating procedures, standards or codes of practice of an organisation. Or it may cover the development of compliance requirements to be followed by **other** organisations, for example compliance requirements developed by a regulatory authority or a licensing, certification or accreditation body.

Competency Field

Business management services

Domain

Compliance management

Application of the Competency

This unit covers competencies required by managers and internal or external consultants of an organisation who may have responsibilities for the development and creation of internal compliance requirements for the organisation, including standards, codes of practice, procedures and policies.

It could also be undertaken by managers and officers in regulatory authorities, licensing authorities, statutory standards authorities, professional associations and institutes, government departments or other organisations with responsibility for establishing compliance requirements to be fulfilled by other organisations and personnel.

While competence in this unit requires the demonstration of a core of knowledge associated with the general project management, there is also a variable knowledge set related to the range of generic and specific legislative requirements, code(s) of practice, standards, procedures, etc. relevant to the person's specific roles and responsibilities.

This unit is intended to ensure that compliance is an integral part of normal business operations.

Application of this unit must be consistent with the pertinent sections of relevant Australian and international standards and legislative requirements including – AS 3806: Compliance Programs, AS 4269: Complaints Handling, A/NZS: 4360 Risk Management and AS ISO 15489: Records Management.

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Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Clarify the purpose and scope of the proposed compliance requirements	1.1 The *authority* for the *compliance requirements* is determined in conjunction with relevant personnel 1.2 The purpose of the compliance requirements is clarified with relevant *authorised personnel* 1.3 The scope of the proposed compliance requirements is determined in consultation with relevant internal and/or external personnel 1.4 The implications of non-compliance with the proposed compliance requirements are clarified and evaluated in consultation with relevant internal and/or external personnel 1.5 *Relevant Australian and international standards* pertaining to the proposed compliance requirements and related compliance program/management system are identified and interpreted
2. Prepare the development plan	2.1 A suitable *project methodology* is established to identify and consult with relevant stakeholders who have an interest in the proposed compliance requirements 2.2 The *plan* for the proposed project to develop compliance requirements is prepared 2.3 Approval of plan is obtained from relevant internal and/or external personnel
3. Consult with relevant stakeholders	3.1 Relevant *internal and/or external stakeholders* in the compliance requirements are identified 3.2 Stakeholders are consulted on compliance requirements in accordance with the established methodology 3.3 Outcomes of consultations with stakeholders are interpreted, analysed and organised in accordance with the established methodology 3.4 Findings and issues determined through the consultation process are summarised, and appropriate recommendations on compliance requirements are drafted
4. Prepare the initial draft report on the proposed compliance requirements	4.1 The initial draft report on the proposed compliance requirements is prepared including information on the findings, issues and recommended requirements identified through the consultation processes

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	4.2 The draft report is submitted to the *development team* for consideration and any changes required are made in preparation for validation consultations
5. Obtain feedback on draft compliance requirements	5.1 An appropriate sample of stakeholders for the validation process is determined in collaboration with the other members of the development team in accordance with the established methodology 5.2 The draft compliance requirements are disseminated to the identified sample of stakeholders using appropriate techniques and technology as per the established methodology 5.3 Feedback received on the draft compliance requirements is collated, interpreted and analysed 5.4 Outcomes of the feedback process are summarised and organised in preparation for the editing of the draft compliance requirements
6. Edit and document recommended compliance requirements	6.1 The draft compliance requirements are appropriately edited based on the feedback obtained from stakeholders 6.2 The edited compliance requirements are formatted and proofread in accordance with the agreed methodology 6.3 The recommended compliance requirements are submitted in the required format to authorised personnel for consideration and due process for approval and implementation

Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace may include**:**	• award and enterprise agreements and relevant industrial instruments • relevant legislation from all levels of government that affects business operation, especially in regard to occupational health and safety (OHS) and environmental issues, equal opportunity, industrial relations and anti-discrimination • relevant industry codes of practice
Authority for the compliance requirements may include but is not limited to:	• external authorities such as: - state, national or international regulatory authorities - state or national licensing authorities - professional associations and institutes - government departments

- state or national statutory standards authorities
- educational institutions and organisations

- internal authorities (to an organisation) such as:
  - CEO or senior managers
  - compliance manager
  - internal audit manager
  - quality control manager

Compliance requirements may include but are not limited to:

- cross-industry, industry-specific and internal organisational compliance requirements in such areas as (examples only in alphabetical groupings):
  - anti-discrimination (including discrimination by race, sex, disability, religion, etc.), alcohol licensing (licensing regulations covering clubs, pubs, licensed premises, etc.), aviation
  - bankruptcy
  - chemical use, child protection, construction, conveyancing/real estate, copyright, corporate governance, customs, credit
  - education, electricity, environmental protection, equal opportunity
  - financial services (including banking), fire, food hygiene, freedom of information, freight forwarding
  - gambling, gene technology
  - health, human rights
  - insurance, immigration, intellectual property
  - land management
  - maritime, mining
  - pharmaceuticals, patents, privacy
  - quarantine
  - racing, rail transport, road transport
  - safety (includes cross-industry generic regulations as well as industry, equipment or product-specific sub-categories e.g. marine safety, rail safety, food safety, aviation safety, road safety, dangerous goods, construction safety, mine safety, road safety, etc.), security, sewage, superannuation
  - taxation, telecommunications, tobacco, trade practices and consumer protection
  - water supply, workers compensation, workers rehabilitation
- different types of external and internal compliance requirements including:

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	- regulations of a state, national or international regulatory authority - accreditation requirements of an institute, professional organisation or registration body - requirements for certification under statutory licensing systems - statutory standards or codes of practice - internal policies, procedures, standards or codes of practice of an organisation
Authorised personnel may include but are not limited to:	• project manager • project steering committee • chief executive officer or manager in an organisation • nominated representative of a regulatory authority • nominated representative of a statutory standards authority • nominated representative of a professional association(s) or institutes(s) • nominated representative of a educational institution(s) or organisation(s)
Relevant Australian and international standards may include but are not limited to:	• AS 3806: Compliance Programs • AS 4269: Complaints Handling • A/NZS 4360: Risk Management • AS ISO 15489: Records Management
Project methodology may include but is not limited to:	• literature searches including web searches • environmental scans • interviews, focus groups, questionnaires • desk analysis • validation interviews, workshops, surveys
Plan may include but is not limited to:	• details of the objectives and deliverables • methodology • timelines and milestones • costs • personnel required including project manager, the internal or external consultant or project team and those who may be consulted during the course of the project activities
Relevant internal and/or external stakeholders may include but are not limited to:	• chief executive officer • board of directors • senior management team • frontline managers • compliance management team (where relevant)

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- compliance specialists at the management level
- compliance specialists at the operational level
- representatives of relevant authorities with an interest in the compliance requirements
- chief executives and managers in organisations with an interest in the compliance requirements being developed
- representatives of professional associations and institutes relevant to the compliance requirements being developed
- legal and business advisors and consultants with expertise and interest in compliance requirements and related management systems

Development team may include but is not limited to:

- project manager
- team members
- steering or advisory committee
- reference panel(s)
- internal and external consultants and advisors

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this standard must be able to provide evidence that they have successfully completed at least one project aimed at developing and validating compliance requirements. The research project(s) may be undertaken for an organisation such as a regulatory authority, statutory standards body or professional association or institute, or internally within an enterprise as a compliance officer, internal compliance specialist manager, or as a member of a compliance management team (usually within a larger organisation).

Evidence will include:

- demonstration of **core** skills and knowledge required when developing compliance requirements generally
- demonstration of the **specific** skills and knowledge that may be uniquely required to carry out development and creation of compliance requirements in <u>particular</u> compliance areas such as OHS, environmental protection, corporate governance, insurance, transport, credit, food production, banking, etc.
- **Note:** dependent on the organisation(s) and compliance requirements involved and the scope of their purpose and objectives, the depth, breadth and complexity of skills and knowledge to develop and create compliance requirements may vary.

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Specific Evidence Requirements

Required knowledge and understanding include:

- methods and techniques suitable for projects aimed at the development and creation of compliance requirements either as part of broader regulations, license requirements, etc., or internal standards, codes of practice, procedures and policies
- sources of data relevant to compliance requirements
- relevant Australian and international standards including but not limited to:
  - AS 3806: Compliance Programs
  - AS 4269: Complaints Handling
  - A/NZS 4360: Risk Management
  - AS ISO 15489: Records Management
- compliance requirements relevant to the organisation
- elements of compliance program/management systems including:
  - documentation of compliance requirements relevant to the organisation
  - specification of compliance management functions, accountabilities and responsibilities within the organisation
  - compliance related management information systems
  - record-keeping systems required for compliance management
  - liaison procedures with relevant internal and external personnel on compliance related matters
  - breach management policies and processes including the identification, classification, investigation, rectification and reporting of breaches in compliance requirements
  - compliance reporting procedures
  - corporate induction and training processes related to compliance management
  - processes for the internal and external promulgation and promotion of information on compliance requirements and compliance program/management system
  - compliance complaints handling systems

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- continuous improvement processes for compliance including monitoring, evaluation and review
- strategies for development of a positive compliance culture within the organisation
- techniques and performance indicators for monitoring the operation of a compliance program/management system
- reporting processes on compliance management including reports on breaches and rectification action

- relevant organisational policies and procedures including:
  - compliance plans and policies in various compliance areas
  - organisational standards for operations and ethics

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- research skills to:
  - conduct literature and web searches
  - conduct surveys to obtain input and feedback on compliance requirements
  - analyse and organise collected information and feedback on compliance requirements using appropriate techniques
- project management skills to:
  - develop project plans
  - manage other personnel involved in the project activity
  - manage time
  - manage finances
- communication and interpersonal skills:
  - written and verbal communication skills
  - ability to relate to internal and external personnel with an interest in the compliance requirements being developed

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Key competencies or generic skills relevant to this unit	The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit: Level (1) represents the competence to undertake tasks effectively Level (2) represents the competence to manage tasks Level (3) represents the competence to use concepts for evaluating and reshaping tasks The bulleted points provide examples of how the key competencies can be applied for this unit.
Communicating ideas and information (3)	• communicating with internal and/or external personnel on draft compliance requirements • consulting with others and sharing ideas in the course of drafting and validating compliance requirements
Collecting, analysing and organising information (3)	• gathering and analysing data as per project plan • sorting and organising feedback on draft compliance requirements
Planning and organising activities (3)	• preparing the project plan for developmental activities
Working in a team (2)	• managing the work of others performing specific functions as part of a project aimed at developing compliance requirements
Using mathematical ideas and techniques (3)	• conducting any quantitative data analysis required within a project aimed at developing and validating compliance requirements
Solving problems (3)	• solving problems arising in the conduct of a project aimed at developing compliance requirements
Using technology (3)	• using computers and software packages for the collection, processing and analysis of input and feedback on draft compliance requirements
Innovation skills (3)	• recognising and creating opportunities for innovative project management activities that may improve the efficiency, reliability and validity of the project processes and outcomes
Products that could be used as evidence include:	• plan for the project to develop and create compliance requirements • draft compliance requirements processes • summaries of the outcomes of feedback and consultations on draft compliance requirements • diaries and other records of project processes used • approved compliance requirements resulting from the project

Processes that could be used as evidence include:	• how the literature and web searches were conducted • how consultation methods were implemented • how initial drafts of compliance requirements were prepared • how feedback on draft compliance requirements and related issues and recommendations was obtained and interpreted • how personnel performing various project activities have been managed • how final versions of compliance requirements were edited
Resource implications for assessment include:	• access to relevant published material such as: - organisation policies, standard operating procedures, procedures and plans - relevant legislation, regulations, licensing requirements, codes of practice, standards • access to the relevant internal and external data files • access to appropriate computer resources for online searching, data processing and analysis, and document preparation and editing
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • full documentation of the successful conduct of at least one project aimed at the development of compliance requirements. This may be a suitably simulated project or an actual project involving internal and/or external personnel as appropriate
Integrated competency assessment means:	• that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant compliance management units or related records management units

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BSBCOM603A Plan and establish compliance management systems

Unit Descriptor

This unit covers the planning and establishment of an appropriate compliance program/management system to enable an organisation to fulfil its obligations and responsibilities under applicable compliance requirements. It has been designed to be consistent with Australian Standard AS 3806: Compliance Programs.

Competency Field

Business management services

Domain

Compliance management

Application of the Competency

This unit could be undertaken by a chief executive officer or senior manager in a small business. It may also be undertaken by senior managers and compliance section managers in larger organisations who have specific responsibility for the planning, development and operation of a compliance program/management system.

This unit is intended to ensure that compliance is an integral part of normal business operations.

Application of this unit must be consistent with the pertinent sections of relevant Australian and international standards and legislative requirements including – AS 3806: Compliance Programs, AS 4269: Complaints Handling, A/NZS: 4360 Risk Management and AS ISO 15489: Records Management.

Element	Performance Criteria
Elements define the critical outcomes of a unit of competency.	The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. *Italicised* terms are elaborated in the Range Statement.
1. Determine the applicable compliance requirements	1.1 Information on current *compliance requirements* applicable to the organisation is obtained and interpreted 1.2 Each area of compliance requirement is reviewed in terms of the relevant internal and external authorities, the risks involved, ways of ensuring compliance, the penalties for a breach of compliance, and the areas and operations of the organisation most affected
2. Identify and select an appropriate compliance program/management system	2.1 For each area of applicable compliance, an investigation is initiated to determine available options for a *compliance program/management system* that would be consistent with *relevant Australian and International standards* and be suitable for the organisation concerned and for controlling the risks involved

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	2.2 The options for a suitable compliance program/management system and its various components are reviewed and compared on the basis of *established criteria*
	2.3 An appropriate compliance program/management system is selected for implementation
3. Plan required compliance program/management system	3.1 Components for the proposed compliance program/management system are determined and documented
	3.2 *Personnel requirements* for the operation of the compliance program/management system are determined, and appropriate staff are assigned or recruited
	3.3 *Training requirements* for the implementation of the proposed compliance program/management system are identified, and suitable training options are selected
	3.4 Management information systems requirements for effective and efficient operation of the compliance program/management system are identified and documented
	3.5 A complaints management system suitable for the organisation and its compliance responsibilities is selected for establishment
	3.6 A strategy for the development of a compliance management culture is determined in collaboration with relevant internal and external personnel
	3.7 Suitable processes and procedures for the identification and management of breaches in compliance requirements are identified and documented
	3.8 Reporting requirements in the various areas of compliance are determined, and suitable processes and procedures are developed
	3.9 Identified resources required for the development, implementation, review and maintenance of the proposed compliance program/management system are budgeted and assigned, including human resources, physical resources and materials
4. Document the required compliance program/management system	4.1 The specifications for the various components of the proposed compliance program/management system are documented in accordance with organisation procedures and any relevant statutory requirements

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	4.2 An *action schedule* for implementing, reviewing and maintaining the planned compliance program/management system is documented and disseminated to relevant internal and external personnel
	4.3 Where required, approval is sought from appropriate internal and external personnel or authorities prior to the establishment of the proposed compliance program/management system
5. Establish the planned compliance program/management system	5.1 Assigned managers and operations personnel are appointed and trained, if required, before assuming their compliance management responsibilities
	5.2 The components of the compliance program/management system are established in collaboration with the assigned staff in accordance with the approved plan
	5.3 Operation of the compliance program/management system is monitored in collaboration with the assigned staff as per the approved plan
	5.4 Periodic reviews of the compliance program/management system are conducted in collaboration with the assigned staff as per the approved plan
	5.5 Reports on the operation and review of the compliance program/management system are prepared in accordance with established procedures and any statutory or other compliance obligations

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Range Statement

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace may include**:**

- award and enterprise agreements and relevant industrial instruments
- relevant legislation from all levels of government that affects business operation, especially in regard to occupational health and safety (OHS) and environmental issues, equal opportunity, industrial relations and anti-discrimination
- relevant industry codes of practice

Compliance requirements may include but are not limited to:

- cross-industry, industry-specific and internal organisational compliance requirements in such areas as (examples only in alphabetical groupings):
  - anti-discrimination (including discrimination by race, sex, disability, religion, etc.), alcohol licensing (licensing regulations covering clubs, pubs, licensed premises, etc.), aviation
  - bankruptcy
  - chemical use, child protection, construction, conveyancing/real estate, copyright, corporate governance, customs, credit
  - education, electricity, environmental protection, equal opportunity
  - financial services (including banking), fire, food hygiene, freedom of information, freight forwarding
  - gambling, gene technology
  - health, human rights
  - insurance, immigration, intellectual property
  - land management
  - maritime, mining
  - pharmaceuticals, patents, privacy
  - quarantine
  - racing, rail transport, road transport
  - safety (includes cross-industry generic regulations as well as industry, equipment or product-specific sub-categories e.g. marine safety, rail safety, food safety, aviation safety, road safety, dangerous goods, construction safety, mine safety, road safety, etc.), security, sewage, superannuation
  - taxation, telecommunications, tobacco, trade practices and consumer protection

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- water supply, workers compensation, workers rehabilitation
- different types of external and internal compliance requirements including:
  - regulations of a state, national or international regulatory authority
  - accreditation requirements of an institute, professional organisation or registration body
  - requirements for certification under statutory licensing systems
  - statutory standards or codes of practice
  - internal policies, procedures, standards or codes of practice of an organisation

A compliance program/management system may include but is not limited to:

- documentation of compliance requirements relevant to the organisation
- specification of compliance management accountabilities/responsibilities in the organisation
- compliance related management information systems
- record-keeping systems required for compliance management
- liaison procedures with relevant internal and external personnel on compliance related matters
- breach management processes
- compliance reporting procedures
- corporate induction and training processes related to compliance management
- processes for the internal and external promulgation and promotion of information on compliance requirements and the compliance program/management system
- compliance complaints handling systems
- continuous improvement processes for compliance including monitoring, evaluation and review
- strategies for development of a positive compliance culture within the organisation
- techniques and performance indicators for monitoring the operation of the compliance program/management system
- reporting processes on compliance management including reports on beaches and rectification action

Relevant Australian and international standards may include but are not limited to:

- AS 3806: Compliance Programs
- AS 4269: Complaints Handling
- A/NZS 4360: Risk Management

	• AS ISO 15489: Records Management
Established criteria (for comparing options for a compliance program/management system) may include but are not limited to:	• effectiveness • efficiency • cost • feasibility • match to organisational culture
Personnel requirements may include but are not limited to:	• senior managers with compliance management responsibilities • compliance manager • compliance officer • internal or external consultants and advisors with expertise in compliance requirements and management systems • frontline managers and team leaders with compliance management responsibilities • compliance management team (where relevant) • compliance specialists at the operational level • trainers with expertise in compliance requirements and management systems • MIS specialists and managers with expertise in compliance requirements and management systems
Training requirements (for the implementation of a compliance program/management system) may include but are not limited to:	• on-the-job coaching and mentoring • customised in-house off-the-job training and assessment programs for both operational and management staff • customised training programs delivered by external training organisations programs for both operational and management staff • online training and assessment for both operation and management staff • external training programs in skill/knowledge areas relevant to the operation of compliance program/management systems • internal and external training programs aimed at strengthening the compliance management culture of the organisation
Action schedule (for implementing, reviewing and maintaining a compliance program management system) may include but is not limited to:	• key responsibilities and activities for implementation, review and maintenance • target outcomes, timelines and milestones • staff assignments including recruitment and training schedules • budgets for implementation, review and maintenance • resource acquisition and maintenance schedules

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- internal and external reporting requirements and dates for implementation, review and maintenance

Evidence Guide

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this standard must be able to provide evidence that they have successfully planned a compliance program/management system for a real or simulated organisation in collaboration with relevant personnel.

Evidence will include:

- demonstration of **core** skills and knowledge required in planning a compliance program/management system for an organisation
- demonstration of the **specific** skills and knowledge that may be uniquely required to plan a compliance program/management system in particular compliance areas such as OHS, environmental protection, corporate governance, insurance, transport, credit, food production, banking, etc.
- **Note:** dependent on the size of the type of organisation involved and the scope of compliance requirements relevant to the organisation, the depth, breadth and complexity of skills and knowledge to plan and establish the compliance program/management system may vary.

Specific Evidence Requirements

Required knowledge and understanding include:

- research methods and techniques suitable for compliance related research projects
- sources of data relevant to compliance research
- quantitative and qualitative data analysis techniques relevant to compliance related research
- relevant Australian and international standards including but not limited to:
  - AS 3806: Compliance Programs
  - AS 4269: Complaints Handling
  - A/NZS 4360: Risk Management
  - AS ISO 15489: Records Management
- elements of compliance program/management systems including:
  - documentation of compliance requirements relevant to the organisation
  - specification of compliance management functions, accountabilities and responsibilities within the organisation

- compliance related management information systems
- record-keeping systems required for compliance management
- liaison procedures with relevant internal and external personnel on compliance related matters
- breach management policies and processes including the identification, classification, investigation, rectification and reporting of breaches in compliance requirements
- compliance reporting procedures
- corporate induction and training processes related to compliance management
- processes for the internal and external promulgation and promotion of information on compliance requirements and a compliance program management system
- compliance complaints handling systems
- continuous improvement processes for compliance including monitoring, evaluation and review
- strategies for development of a positive compliance culture within the organisation
- techniques and performance indicators for monitoring the operation of a compliance program/management system
- reporting processes on compliance management including reports on breaches and rectification action

• relevant organisational policies and procedures including:
  - compliance plans and policies in various compliance areas
  - organisational standards for operations and ethics

Required skills and attributes include:

• ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
• ability to contribute to a positive culture of compliance within an organisation
• research skills to:
  - conduct literature and web searches
  - conduct various types of research surveys
  - analyse and organise research data, including qualitative and quantitative data, using appropriate techniques
• research management skills to:

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- develop research plans
- manage other personnel involved in the research activity
- manage time
- manage finances

- communication and interpersonal skills:
  - written and verbal communication skills
  - ability to relate to internal and external personnel and in particular those representing relevant regulatory authorities, professional institutes and organisations, standards organisations, etc.

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively
Level (2) represents the competence to manage tasks
Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (3)	• consulting with others and sharing ideas in the course of planning the compliance program/management system • reporting and disseminating information on the planned compliance program/management system
Collecting, analysing and organising information (3)	• gathering and analysing information on available options for a compliance program/management system • comparing options for a compliance program/management system
Planning and organising activities (3)	• preparing the plan for the implementation, review and maintenance of a compliance program/management system
Working in a team (2)	• managing the work of others involved in the development of the plan for a compliance program/management system
Using mathematical ideas and techniques (3)	• carrying out any calculations required in the development of a plan for the implementation, review and maintenance of a compliance program/management system
Solving problems (3)	• solving problems arising when planning the implementation, review and maintenance of a compliance program/management system

Using technology (3)	• using computers and software packages for the planning activities
Innovation skills (3)	• recognising and creating opportunities for innovative data analysis activities that may improve the efficiency, effectiveness, and appropriateness of the planned compliance program/management system
Products that could be used as evidence include:	• documented plan for the development of a compliance program/management system • specifications for the components of the planned compliance program/management system • summaries of the planning activities conducted
Processes that could be used as evidence include:	• how the compliance requirements were identified and interpreted • how relevant personnel were consulted during the planning process • how the plan was prepared and documented • how the plan was disseminated • how personnel assisting in the planning process have been managed
Resource implications for assessment include:	• access to relevant information on compliance requirements • access to relevant information on options for compliance program/management systems • access to the relevant internal and external personnel • access to appropriate computer resources for online searching, data processing and analysis, and report preparation and editing
Validity and sufficiency of evidence requires:	• that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment • full documentation of the successful conduct of the planning of at least one compliance program/management system. This may be a suitably simulated project or the planning of an actual compliance program/management system for internal or external clients
Integrated competency assessment means:	• this unit can be assessed alone or as part of an integrated assessment activity involving other relevant compliance management units or related records management units. The unit BSBCOM501A Identify and interpret compliance requirements, is suggested

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