



# **Assessment Tasks**

## **Assessor Guide**

**BSBMGT502B: Manage people performance**

Copyright ownership: United Business Services (Aust) Pty Ltd.

This book is copyright protected under the Berne Convention.  
All rights reserved. No reproduction without permission.

This book is protected by copyright and may not be reproduced or copied either in part or in whole nor used for financial gain without the express approval in writing of the owner (United Business Services (Aust) Pty Ltd) of the copyright.

United Business Services (Aust) Pty Ltd  
50 Cupania Street  
Algester Qld 4115

Ph: (07) 3276 0549  
Email: [info@ubsconsultants.com.au](mailto:info@ubsconsultants.com.au)  
Web: [www.ubsconsultants.com.au](http://www.ubsconsultants.com.au)

## Assessment Documentation

This Assessor Guide is designed to provide standardised documentation and assessment procedure for the assessment processes conducted by this RTO.

The assessment tools that are used by you (the assessor) will result in evidence being generated by the student targeting this unit of competency. The evidence is kept by the RTO and is required for audit purposes.

The following table summarises the types of evidence students can generate as proof of competence. The table contains information based on the AQF (Australian Qualifications Framework) Level for the unit **BSBMGT502B: Manage people performance**. Sample assessment tools have been suggested as a means of assisting students in generating the appropriate form of evidence for this unit.

AQF Level	Distinguishing Features (Source: AQF Implementation Handbook 2007: Guidelines)	Type of evidence to be used	Sample assessment tools
Diploma	<ul style="list-style-type: none"><li>▪ Demonstrate understanding of a broad knowledge base incorporating theoretical concepts, with substantial depth in some areas</li><li>▪ Analyse and plan approaches to technical problems or management requirements</li><li>▪ Transfer and apply theoretical concepts and/or technical or creative skills to a range of situations</li><li>▪ Evaluate information using it to forecast for planning or research purposes</li><li>▪ Take responsibility for own outputs in relation to specified quality standards</li><li>▪ Take some responsibility for the achievement of group outcomes</li></ul>	<ul style="list-style-type: none"><li>▪ Workplace achievement</li><li>▪ Answers to case study</li><li>▪ Work samples from a range of areas</li><li>▪ Practical demonstration</li><li>▪ Role playing a specific process</li><li>▪ Log book</li><li>▪ Photographs / videos</li><li>▪ Third party report</li></ul>	<ul style="list-style-type: none"><li>▪ Performance checklist for demonstrations / role plays</li><li>▪ Case study scenarios and questions with benchmark answers</li><li>▪ End product summary checklist</li><li>▪ Written/oral questions and benchmark answers</li></ul>

The assessment activities associated with the unit of competency **BSBMGT502B: Manage people performance** are listed below:

Assessment 1: Written	<ul style="list-style-type: none"><li>▪ Written answers to questions</li></ul>
Assessment 2: Project	<ul style="list-style-type: none"><li>▪ Written responses to tasks</li></ul>
Assessment 3: Project	<ul style="list-style-type: none"><li>▪ Written responses to tasks</li></ul>
Assessment 4: Project	<ul style="list-style-type: none"><li>▪ Written responses to tasks</li></ul>
Assessment 5: Project	<ul style="list-style-type: none"><li>▪ Written responses to tasks</li></ul>

## Assessment Information

*The candidate has been given the following information*

This guide contains all of the assessment tasks required for completion of unit of competency **BSBMGT502B: Manage people performance**.

Prior to commencing the assessments your assessor will explain each task to you. You will be given the opportunity to ask questions and to seek clarification on any of the tasks, and your assessor will remain available to support you through the assessment process.

Your assessor is also available to discuss Recognition of Prior Learning and whether this applies to your circumstances.

## Terms and conditions

### Submitting your evidence portfolio

You are recommended to seek the advice of your assessor when putting together your evidence portfolio in order to confirm that you have provided sufficient evidence of competency.

You should note that your evidence portfolio must be retained by the Registered Training Organisation for audit purposes and will not be returned to you. If you wish to keep any evidence, you should make a copy prior to submission for assessment. You are advised to make sure you clearly label each answer and task and complete all sections of each assessment.

If possible, you should also submit copies of any workplace documents that may be relevant to this unit of competency. In this case you will need to gain approval to provide the copies from your employer.

### Ownership and plagiarism

You are advised by accepting these terms and conditions you have declared the evidence that you submit is your own work or the result of your own research. By signing the declaration below you acknowledge your assessment is your own and contains no material written by another person except where due reference is made. Note that if you quote any source in your evidence, you must provide a reference to the source in order to ensure that you do not breach Copyright legislation. You need to be aware that a false declaration may lead to the withdrawal of a qualification.

### Re-submission of your evidence portfolio

If your evidence meets the requirements of the unit of competency you will be assessed as Competent (**C**) in this unit. If your evidence does not meet the requirements of the unit of competency you will be assessed as Not Yet Competent (**NYC**). If you are assessed NYC, it is important to discuss your re-submission with your assessor as you will be given one opportunity only to revise and re-submit your evidence portfolio.

### Candidate's declaration of original authorship

The candidate is required to sign the following declaration in the Candidate copy of this Assessment.

I declare that this assessment is my own and contains no material written by another person except where due reference is made. I am aware that a false declaration may lead to the withdrawal of a qualification

## BSBMGT502B: Manage people performance

### Elements

#### 1. Allocate work

##### *Performance Criteria (PC):*

- 1.1 Consult relevant groups and individuals on work to be allocated and resources available
- 1.2 Develop work plans in accordance with operational plans
- 1.3 Allocate work in a way that is efficient, cost effective and outcome focussed
- 1.4 Confirm performance standards, Code of Conduct and work outputs with relevant teams and individuals
- 1.5 Develop and agree performance indicators with relevant staff prior to commencement of work
- 1.6 Conduct risk analysis in accordance with the organisational risk management plan and legal requirements

#### 2. Assess performance

##### *Performance Criteria (PC):*

- 2.1 Design performance management and review processes to ensure consistency with organisational objectives and policies
- 2.2 Train participants in the performance management and review process
- 2.3 Conduct performance management in accordance with organisational protocols and time lines
- 2.4 Monitor and evaluate performance on a continuous basis

#### 3. Provide feedback

##### *Performance Criteria (PC):*

- 3.1 Provide informal feedback to staff on a regular basis
- 3.2 Advise relevant people where there is poor performance and take necessary actions
- 3.3 Provide on-the-job coaching when necessary to improve performance and to confirm excellence in performance
- 3.4 Document performance in accordance with the organisational performance management system
- 3.5 Conduct formal structured feedback sessions as necessary and in accordance with organisational policy

#### 4. Manage follow up

##### *Performance Criteria (PC):*

- 4.1 Write and agree performance improvement and development plans in accordance with organisational policies
- 4.2 Seek assistance from human resources specialists where appropriate
- 4.3 Reinforce excellence in performance through recognition and continuous feedback
- 4.4 Monitor and coach individuals with poor performance
- 4.5 Provide support services where necessary
- 4.6 Counsel individuals who continue to perform below expectations and implement the disciplinary process if necessary
- 4.7 Terminate staff in accordance with legal and organisational requirements where serious misconduct occurs or ongoing poor-performance continues

### Required Skills

- |       |  |
|-------|--|
| RS 1. | •communication skills to articulate expected standards of performance, to provide effective feedback and to coach staff who need development |
| RS 2. | •risk management skills to analyse, identify and develop mitigation strategies for identified risks  |
| RS 3. | •planning and organisation skills to ensure a planned and objective approach to the performance management system.                           |

### Required Knowledge

- |       |   |
|-------|---|
| RK 1. | •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 |
| RK 2. | •relevant awards and certified agreements   |

### Required Knowledge

- RK 3. •performance measurement systems utilised within the organisation
- RK 4. •unlawful dismissal rules and due process
- RK 5. •staff development options and information.

### Critical aspects of evidence

*Evidence of the following is essential:*

- CAE 1. •documented performance indicators and a critical description and analysis of performance management system from the workplace
- CAE 2. •techniques in providing feedback and coaching for improvement in performance
- CAE 3. •knowledge of relevant awards and certified agreements.

### Employability Skills

*Industry and enterprise requirements for the qualification:*

- ES 1. Communication
  - conducting research to collect and analyse information in a range of reports
  - consulting with others to develop a range of plans and reports
  - liaising with stakeholders and promoting participative workplace arrangements
  - negotiating solutions to new and emerging issues
- ES 2. Teamwork
  - contributing to the development of other team members
  - providing feedback on team performance to colleagues and managers
- ES 3. Problem solving
  - applying risk management processes to business operations
  - assessing financial viability of new opportunities and matching organisational capability with market needs
- ES 4. Initiative and enterprise
  - encouraging creative and innovative workplace solutions
  - identifying new and emerging opportunities for the business and developing strategies to capitalise on them
  - managing, fostering and facilitating change
- ES 5. Planning and organising
  - developing systems that are flexible and responsive to changing circumstances
  - planning for contingencies and performance of staff and systems
- ES 6. Self management
  - dealing with contingencies
  - managing own time and priorities
  - taking responsibility as required by work role and ensuring all organisational policies and procedures are adhered to
- ES 7. Learning
  - assisting others to acquire new knowledge and skills to improve team and individual performance
- ES 8. Technology
  - using electronic communication devices and processes such as internet, intranet, email to produce written correspondence and reports
  - using technology to assist the management of information and to assist the planning process

Candidates targeting unit **BSBMGT502B: Manage people performance** need to complete all formative activities in preparation for the five summative assessment activities required for this unit.

The candidate is provided with instructions for each of the summative assessment activities in her/his assessment task book.

**If at any stage of the assessments, you believe that the safety of anyone is in jeopardy, you should abort the assessment session.**

## Assessment 1: Written Test

*The following instructions have been provided to the candidate.*

### Instructions to Candidate

You are required to answer the following questions to confirm your knowledge in relation to unit **BSBMGT502B: Manage people performance**.

You may refer to your training materials and other research while completing the answers.

Write your answers in the spaces below using a blue or black pen. Alternatively type a document and provide a printed copy. If you re-type the document, repeat each question in the document and type your answer under the question.

### Instructions to Assessor: Written Benchmark Answers

The following answers are supplied for you (the assessor). Please ensure when marking the candidate's work that you adhere to the prescribed answers. The benchmark answers in the following table are intended as a guide to ensure consistency of assessment.

Questions and benchmark answers	Mapping
Question 1. What is the correct name of the Act (legislation) that governs occupational health and safety in your State?	
Answers will vary according to the candidate's state eg: <ul style="list-style-type: none"><li>Queensland: Workplace Health &amp; Safety Act</li></ul>	RK 1
Question 2. What is the correct name and date of the Act (legislation) that governs environmental issues in your State?	
Answers will vary according to the candidate's state eg: <ul style="list-style-type: none"><li>Environmental Protection Act</li></ul>	RK 1
Question 3. What is the correct name of the Commonwealth Act (legislation) first passed in 2009 that governs workplace relations?	
<ul style="list-style-type: none"><li>Fair Work Act</li></ul>	RK 1
Question 4. List the correct names of 3 Commonwealth Acts (legislation) that relate to anti-discrimination	
Commonwealth legislation includes: <ul style="list-style-type: none"><li>Disability Discrimination Act</li><li>Sex Discrimination Act</li><li>Age Discrimination Act</li><li>Racial Discrimination Act</li></ul>	RK 1

Questions and benchmark answers	Mapping
<p>Question 5. The Fair Work Act requires all employers covered by the national workplace relations system to give new employees a Fair Work Information Statement. When must the statement be given to the employee?</p>	
<ul style="list-style-type: none"> <li>Before, or as soon as possible after, the employee starts employment</li> </ul> <p><b>Assessor note:</b> Refer to <a href="http://www.fairwork.gov.au">www.fairwork.gov.au</a> which states:</p> <p>The Fair Work Act provides a safety net of enforceable minimum employment terms and conditions through the National Employment Standards (NES).</p> <p>From 1 January 2010, all employers covered by the national workplace relations system have an obligation to give each new employee a Fair Work Information Statement (the Statement) before, or as soon as possible after, the employee starts employment.</p> <p>The Statement contains information about:</p> <ul style="list-style-type: none"> <li>The National Employment Standards (NES)</li> <li>The effect on an employee's NES entitlements when there is a transfer of business</li> <li>Modern awards</li> <li>Agreement making under the Fair Work Act 2009</li> <li>Individual flexibility arrangements</li> <li>The right to freedom of association</li> <li>Termination of employment and unfair dismissal</li> <li>Right of entry (including the protection of personal information by privacy laws)</li> <li>The role of the Fair Work Ombudsman and Fair Work Australia</li> </ul>	<p>RK 1</p>
<p>Question 6. What is an award?</p>	
<ul style="list-style-type: none"> <li>An award is an enforceable document containing minimum terms and conditions of employment in addition to any legislated minimum terms.</li> </ul>	<p>RK 2 CAE 3</p>
<p>Question 7. What is the name of the national body that has responsibility for making and varying awards in the workplace relations system?</p>	
<ul style="list-style-type: none"> <li>Fair Work Australia (FWA) has responsibility for making and varying awards in the national workplace relations system. .</li> </ul>	<p>RK 2 CAE 3</p>
<p>Question 8. What is a "modern award"?</p>	
<ul style="list-style-type: none"> <li>Modern awards are those awards being created under the new national workplace relations system.</li> </ul>	<p>RK 2 CAE 3</p>
<p>Question 9. How do you find out which award applies to your organisation or an employee?</p>	
<ul style="list-style-type: none"> <li>To find out which award you are covered by, you should contact the Fair Work Infoline on 13 13 94.</li> </ul>	<p>RK 2 CAE 3</p>



Questions and benchmark answers	Mapping
<p>Question 10. Is a certified agreement:</p> <p>A. a collective workplace agreement lodged with the relevant workplace authority, or</p> <p>B. an individual agreement certified by a Justice of the Peace</p>	
<ul style="list-style-type: none"> <li>A. a collective workplace agreement lodged with the relevant workplace authority</li> </ul> <p><b>Assessor note</b> The Fair Work Act website states: Collective agreements made before 27 March 2006 were called certified agreements and were lodged with the Australian Industrial Relations Commission. Collective agreements made after 27 March 2006 were lodged with the Workplace Authority.</p>	<p>RK 2 CAE 3</p>
<p>Question 11. Some employees are covered by an agreement, not an award. What are the 3 types of enterprise agreements that can be made under the Fair Work Act?</p>	
<ul style="list-style-type: none"> <li>Single-enterprise agreements—involving a single employer or one or more employers (such as in a joint venture) co-operating in what is essentially a single enterprise (such employers are known as single interest employers).</li> <li>Multi-enterprise agreements—involving two or more employers that are not all single interest employers.</li> <li>Greenfields agreements—involving a genuinely new enterprise that one or more employers are establishing or propose to establish and who have not yet employed persons necessary for the normal conduct of the enterprise. Such agreements may be either a single-enterprise agreement or a multi-enterprise agreement.</li> </ul>	<p>RK 2 CAE 3</p>
<p>Question 12. Explain in your own words the difference between a “performance standard” and a “performance indicator”. Which of the two would you categorise as a performance measurement system?</p>	
<p>Answers may vary in wording but should indicate:</p> <ul style="list-style-type: none"> <li>A Performance Standard is the level, or quality of performance required. A Performance Standard is <b>what we measure</b>.</li> <li>A Performance Indicator (or KPI – key performance indicator) is the <b>method of measuring</b> success in achieving the Performance Standard. It can be categorised as a performance measurement system.</li> </ul>	<p>RK 3 CAE 1</p>

Questions and benchmark answers	Mapping
<p>Question 13. It is illegal for an employer to dismiss an employee for a number of reasons. List 5 reasons that may be used as grounds for a claim of unlawful dismissal.</p>	<p>Dismissal for any of the following reasons (candidate is to list 5):</p> <ul style="list-style-type: none"> <li>• A person's race, colour, sex, sexual preference, age, physical or mental disability, marital status, family or carer's responsibilities, pregnancy, religion, political opinion, national extraction or social origin (some exceptions apply, such as where it's based on the inherent requirements of the job)</li> <li>• Temporary absence from work because of illness or injury</li> <li>• Trade union membership or participation in trade union activities outside working hours or, with the employer's consent, during working hours</li> <li>• Non-membership of a trade union</li> <li>• Seeking office as, or acting as, a representative of employees</li> <li>• Being absent from work during maternity leave or other parental leave</li> <li>• Temporary absence from work to engage in a voluntary emergency management activity</li> <li>• Filing a complaint, or participating in proceedings against an employer.</li> </ul>
<p>Question 14. Generally, legislation does not permit an employer to dismiss an employee without notice. What is the exception where summary dismissal is permitted?</p>	<ul style="list-style-type: none"> <li>• Summary dismissal for misconduct.</li> </ul> <p>In all other cases, due process must be followed.</p>
<p>Question 15. Define in your own words the meaning of 360° feedback. Why it is a staff development option for managers?</p>	<p><i>Answers may vary in wording</i></p> <p>Definition:</p> <ul style="list-style-type: none"> <li>• 360-degree feedback, also known as multi-rater feedback, multisource feedback, or multisource assessment, is feedback that comes from all around an employee.</li> <li>• It takes the form of a survey requesting feedback from subordinates, peers, and supervisors.</li> <li>• It also includes a self-assessment and, in some cases, feedback from external sources such as customers and suppliers or other interested stakeholders</li> </ul> <p>Staff development option:</p> <ul style="list-style-type: none"> <li>• Often used for managers – provides feedback for improvement in their own performance - helps in choosing the most appropriate professional development options.</li> </ul>

Questions and benchmark answers	Mapping
<p>Question 16. List 3 staff development options that can be used for developing skills and knowledge within the workplace, on-the-job.</p> <ul style="list-style-type: none"> <li>On-the job coaching</li> <li>Mentoring</li> <li>Team meetings and information sessions</li> <li>Buddy system</li> <li>Providing opportunities for practice of new skills</li> <li>Job rotation and multi-skilling</li> </ul>	<p>RK 5 CAE 2</p>
<p>Question 17. List 3 types of external organisations that you could contact to provide information about training and staff development options.</p> <ul style="list-style-type: none"> <li>TAFE colleges</li> <li>Apprenticeship training organisations</li> <li>Registered training organisations under the Australian Quality Training Framework</li> <li>Management consultants or other external consultants who are involved in staff development</li> </ul>	<p>RK 5 CAE 2</p>
Total Questions	17

### Assessment checklist – Assessor Note

Please complete the assessment checklist in the Candidate Guide to record the assessment process and outcome.

The checklist contains a declaration by the candidate as follows:

- The purpose and outcomes of the assessment have been explained.
- I have received information about the unit of competency.
- I understand the type of evidence to be collected.
- The appeals system has been explained to me.
- I have notified my assessor of any special needs that may need to be considered during the assessment.

The checklist contains a section for the assessor to record the following:

- Whether RPL / Accelerated progression is required
- Whether Language / Literacy / Numeracy support is required
- Any other special needs

## Assessment 2: Project

*The following instructions have been provided to the candidate.*

### Instructions to Candidate

This activity is related to the unit of competency **BSBMGT502B: Manage people performance**. In particular, you will be required to demonstrate your skills and knowledge in relation to this unit of competency.

You may refer to your training materials and other research if required. The activity may be completed in the workplace or a simulated workplace.

Your assessor will use a checklist to record the assessment decision.

### Overview

Below are a number of practical tasks to be completed over a period of time in a real or simulated workplace where you will perform the duties of a **manager**. The times for completion of the tasks are to be negotiated between yourself and the assessor. The tasks will reflect your ability to:

Project: Identify organisational requirements and develop work plans for a team, allocating work and designing performance indicators.

Your assessor will provide you with instructions and complete a checklist on which they will record your satisfactory performance of workplace tasks.

The Project Tasks table below identifies the documents that you are required to prepare and submit in your evidence portfolio. They may be presented in printed format in a folder or as an electronic copy.

Ensure both your name and student number is clearly displayed.

## Instructions to Assessor

The following benchmarks are supplied for you (the assessor). Please ensure when marking the candidate's work that you adhere to the prescribed benchmarks which are intended as a guide to ensure consistency of assessment.

Project Tasks	Mapping
The following tasks may be completed as a workplace project based on your own organisation and job role, or as a simulated workplace project based on a fictitious organisation, or an organisation you are familiar with.	
<p>1. For the organisation where you are the manager, identify the following:</p> <ul style="list-style-type: none"> <li>Name of the organisation and a description of the type of activities it conducts.</li> <li>Name of the department / team that you manage and a description of the activities it conducts.</li> <li>Design a mission statement for the organisation.</li> <li>Design a mission statement for your team, which states how your team promotes the overall objectives in accordance with the organisation's operational plans. The mission statement will be the first step in designing performance standards and a work plan for your team.</li> </ul> <p><i>Example of an organisational mission statement:</i>  <b>Our Mission at Fung Wung's Cooking House is to be the Number 1 Chinese Restaurant in Brisbane. We will do this by using the freshest ingredients and showcasing exceptional Chinese Cuisine, that will be so sought after, every night our restaurant will be booked out and our feedback from our customers will be 5 out of 5.</b></p> <p><i>Example of a team mission statement:</i>  <b>Our Mission in the Kitchen of Fu Wung's Cooking House is to enable Fu Wung's to be the Number 1 Chinese Restaurant in Brisbane. We will do this by working as a team to prepare authentic Chinese recipes of the highest quality and always striving to improve the quality and variety of meals.</b></p> <p>You are required to provide your assessor with the following document:</p> <ul style="list-style-type: none"> <li>A document with the title "<b>Organisation and Team</b>" containing the above information.</li> </ul>	<p>PC 1.2, 1.4 RS 3 ES 1</p>

### Has the candidate met the following criteria for Task 1

*The candidate's response will vary*

A document with the title "Organisation and Team" containing:

- Named an organisation, (business, government or community) and sufficiently described the activities it conducts so that its purpose can be pictured.
- Named the department/team within the organisation and sufficiently described its activities.
- Designed an appropriate and concise mission statement for the organisation which states its purpose. This may include:
  - What does the organisation do – what is its reason for existence?
  - Who does the organisation serve – who are its customers and how do they serve them?
  - What is the mission to be i.e. "the best" or "better" than what?
  - What actions does the organisation wish to be distinguished for?
- Designed an appropriate and concise mission statement for the team which aligns with the mission of the organisation and has the same structure as the organisational mission statement.

Project Tasks	Mapping
<p>2. In order to design work plans for your team, it is necessary to identify specific objectives (or goals). This step will define the performance standards for work outputs. The mission statement that you designed for the team in Task 1 identifies the purpose of the team in accordance with the organisation's operational plan. Use the mission statement to define 5 clear objectives (or goals) for the team. These should be worded in terms of outcomes, as opposed to tasks.</p> <p><i>Example of team goals for Fu Wung's Cooking House:</i> Goal 1: Authentic Chinese recipes Goal 2: Variety of menu options to suit all tastes Goal 3: Attractive presentation of meals Goal 4: Giving customers the meals they want Goal 5: Prompt service</p> <p>You are required to provide your assessor with the following document:</p> <ul style="list-style-type: none"> <li>A document with the title "<b>Team Performance Standards</b>" containing the above information.</li> </ul>	<p>PC 1.2, 1.4 RS 3 ES 1</p>

Has the candidate met the following criteria for Task 2
<p><i>The candidate's response will vary</i> A document with the title "Team Performance Standards" containing:</p> <ul style="list-style-type: none"> <li>Listed 5 objectives relevant to the team mission statement.</li> <li>Correctly differentiated between a task and a goal and only listed outcomes.</li> <li>Selected goals that are relevant to their mission statement for the team and that comply with the overall objectives of the organisation</li> </ul>

Project Tasks	Mapping
<p>3. In order to design work plans for your team, you will need to identify the key tasks that need to be performed in order to achieve the team's performance standards.</p> <p>List 3 key tasks that need to be performed by the team for each of the 5 performance standards that you identified in Task 2. The tasks should be stated in active verbs (not "understand" or "know" but "do").</p> <p><i>Example goal – authentic Chinese recipes</i></p> <p>Task 1: Undertake research on authentic Chinese recipes</p> <p>Task 2: Maintain a database or list of authentic Chinese recipes</p> <p>Task 3: Use traditional Chinese cooking methods</p> <p>You are required to provide your assessor with the following document:</p> <ul style="list-style-type: none"> <li>A document with the title "<b>Team Key Tasks</b>" containing the above information.</li> </ul>	<p>PC 1.2, 1.4</p> <p>RS 3</p> <p>ES 1</p>

Has the candidate met the following criteria for Task 3
<p><i>The candidate's response will vary</i></p> <p>A document with the title "Team Key Tasks" containing:</p> <ul style="list-style-type: none"> <li>Documented each of the 5 goals and provided 3 key tasks to achieve each performance standard.</li> <li>The tasks should be stated in active verbs (not "understand" or "know" but "do")</li> <li>The tasks must be relevant to achieving the performance standards.</li> </ul>

Project Tasks	Mapping
<p>4. When developing a work plan, you will need to agree performance indicators (KPIs) with the team.</p> <p>The KPIs will be designed to measure whether work output is achieving the identified performance standards.</p> <p>The first step is to identify which performance standards comply with SMARTT criteria, and are therefore capable of being used as KPIs.</p> <ul style="list-style-type: none"> <li>○ Specific</li> <li>○ Measurable</li> <li>○ Achievable</li> <li>○ Realistic</li> <li>○ Trackable</li> <li>○ Time Framed.</li> </ul> <p>Refer to the team performance standards that you developed in Task 2 and create a document in 2 parts:</p> <p><b>Part A: Analysis of Performance Standards</b></p> <ul style="list-style-type: none"> <li>• List each of the 5 goals that you identified in Task 2 (eg Performance Standard 1: Authentic Chinese recipes)</li> <li>• Under each goal, type a paragraph analysing whether the performance standard meets SMARTT criteria.</li> <li>• If you find that it does not meet SMARTT criteria, explain the reason why.</li> </ul> <p><b>Part B: Key Performance Indicators</b></p> <ul style="list-style-type: none"> <li>• Choose the 3 most appropriate performance standards from Part A where you have confirmed that they meet SMARTT criteria.</li> <li>• List the performance standards and under each, type a paragraph that explains: <ul style="list-style-type: none"> <li>○ How it will be measured.</li> <li>○ How it will be monitored (tracked)</li> <li>○ When (how often) it will be measured</li> </ul> </li> </ul> <p>You are required to provide your assessor with the following document:</p> <ul style="list-style-type: none"> <li>• A document with the title “<b>Team Performance Indicators</b>” containing the above information.</li> </ul>	<p>PC 1.5 RS 3 RK 3 CAE 1 ES 1</p>

Has the candidate met the following criteria for Task 4
<p><i>The candidate's response will vary</i></p> <p>A document with the title “Team Performance Indicators” containing:</p> <ul style="list-style-type: none"> <li>• Used the Performance Standards from Task 2 as headings</li> <li>• Identified how each of the goals meets the SMARTT criteria or identified why they do not meet SMARTT criteria.</li> <li>• Chosen the 3 most appropriate goals and identified how they will be measured, monitored and time-framed.</li> </ul>



Project Tasks	Mapping
<p>5. Before implementing a work plan for the team, you would need to conduct a risk analysis in accordance with the organisation's risk management plan and legal requirements.</p> <ul style="list-style-type: none"> <li>Design a Risk Management Plan to be incorporated in your work plan, based on the Team Key Tasks document that you created in Task 2.</li> <li>For each of the team key tasks, you should identify: <ul style="list-style-type: none"> <li>Any hazards associated with performing the tasks (a hazard is something with the potential to create risk)</li> <li>The risk/s associated with the hazard (the consequences of injury to individuals or damage to the organisation including its operations, quality standards, timelines or reputation).</li> <li>The risk assessment (the likelihood of the risk occurring).</li> <li>The risk control measures to be implemented, or the reason why no risk control measure will / can be implemented.</li> </ul> </li> </ul> <p>You are required to provide your assessor with the following document:</p> <ul style="list-style-type: none"> <li>A document with the title "<b>Risk Management Plan</b>" containing the above information.</li> </ul>	<p>PC 1.6 RS 2 ES 3, 5</p>

Has the candidate met the following criteria for Task 5
<p><i>The candidate's response will vary</i></p> <p>A document with the title "Risk Management Plan" containing:</p> <ul style="list-style-type: none"> <li>Differentiated correctly between a hazard and a risk.</li> <li>Identified relevant risks to safety</li> <li>Identified relevant risks to the organisation / team achieving its objectives</li> <li>Identified relevant risks to quality standards and/or timelines</li> <li>Identified relevant risks relating to costs / overheads</li> <li>Identified relevant risks relating to legislative requirements eg environmental legislation</li> <li>Assessed all risks appropriately in terms of likelihood.</li> <li>Identified risk control measures or stated why no measure will be implemented.</li> </ul>

Project Tasks	Mapping
<p>6. In order to allocate work to individual team members in a way that is efficient, cost effective and outcome focused, you need to first identify the skills, knowledge and work load of each team member.</p> <ul style="list-style-type: none"><li>• Refer to your document with the title “Organisation and Team” and list each member of your team by name and job title. You are to list at least 5 team members.</li><li>• For each team member, type a paragraph briefly describing their skills and knowledge and current job role.</li><li>• Then refer back to your document with the title “Team Key Tasks”. Allocate key tasks to each team member. Tasks may be shared by more than one team member, or each team member may have one key task.</li><li>• Give a brief explanation of why you have chosen to allocate the task to the team member/s.</li></ul> <p>You are required to provide your assessor with the following document: A document with the title “<b>Team Work Allocation</b>” containing the above information.</p>	PC 1.3 RS 3 ES 1

Has the candidate met the following criteria for Task 6
<p><i>The candidate's response will vary</i></p> <p>A document with the title “Team Work Allocation” containing:</p> <ul style="list-style-type: none"><li>• Identified at least 5 team members by name and job title.</li><li>• Described the skills and knowledge of each team member.</li><li>• Described their current job role.</li><li>• Allocated all key tasks listed in the “Team Key Tasks” document.</li><li>• Given reasons for matching the task to the team member/s.</li><li>• Allocated the work in a way that is cost effective and efficient.</li></ul>

Project Tasks	Mapping
<p>7. You are required to design a PowerPoint presentation on the importance of communication and consultation in managing people performance.</p> <p>Your presentation should explain why it is important for a manager to:</p> <ul style="list-style-type: none"> <li>• Consult with their team on work to be allocated.</li> <li>• Consult with Human Resources and other relevant groups on resources available.</li> <li>• Discuss and explain the organisation's Code of Conduct with the team.</li> <li>• Agree performance indicators with relevant staff prior to commencement of work</li> <li>• Take regular opportunities to give and receive informal feedback with team members</li> <li>• Have a structured performance review and feedback procedure</li> <li>• Communicate information about policy and procedural decisions to their team</li> </ul> <p>There should be 9 slides in total:</p> <ul style="list-style-type: none"> <li>• Title Slide</li> <li>• One slide for each bulleted item, stating at least 2 reasons per slide. The reasons may be repeated on different slides where relevant. For example – “to promote trust” may be relevant to several areas.</li> <li>• Summary Slide</li> </ul> <p>You are required to provide your assessor with the following document:</p> <ul style="list-style-type: none"> <li>• A presentation with the title <b>“The Importance of Communication”</b> printed as handouts, 6 slides to a page.</li> </ul>	<p>PC 1.1, 1.4-1.5 ES 1-2, 8</p>

**Has the candidate met the following criteria for Task 7**

*The candidate's response will vary*

A printed presentation, 6 slides to a page with the title "The Importance of Communication" containing the following information.

*Wording of the presentation may vary. All major bullet points should have at least one reason stated.*

- Consult with their team on work to be allocated.  
*Reasons may be:*
  - Team members have a different focus as they are doing the job.
  - So that team members feel a sense of ownership in the work plan
  - So that team members feel that they are valued
- Consult with Human Resources and other relevant groups on resources available.  
*Reasons may be:*
  - HR may assist with recruitment (internal or external) and selection
  - Training and staff development resources may be required.
- Discuss and explain the organisation's Code of Conduct with the team.  
*Reasons may be:*
  - Code of Conduct is organisational policy which is the manager's responsibility to ensure the team are aware
  - Code of Conduct requires standards of behaviour, which is part of performance management.
- Agree performance indicators with relevant staff prior to commencement of work  
*Reasons may be:*
  - To ensure that performance indicators are correctly designed and relevant to the job
  - To ensure that team members understand the reason for the performance indicators
  - To gain a commitment from team members
  - So that team members feel a sense of ownership.
  - So that team members feel they are valued.
  - To motivate team members
- Take regular opportunities to give and receive informal feedback with team members  
*Reasons may be:*
  - To encourage ideas and creative suggestions – continuous improvement
  - To promote trust
  - To be aware of problems early
- Have a structured performance review and feedback procedure  
*Reasons may be:*
  - A valuable opportunity to give and receive feedback on an individual basis
  - Enable evaluation of skills and knowledge gaps and any training or coaching requirements
  - An opportunity to give credit for good performance
  - An opportunity to review reasons for poor performance and achieve agreement on a performance improvement plan
- Communicate information about policy and procedural decisions to their team  
*Reasons may be:*
  - To promote trust
  - So that team members can implement/comply with them

Project Task	Mapping
<p><b>The overall project task:</b></p> <p>Compile all the above documents together. They will be assessed separately and then assessed for overall readability, which includes use of appropriate grammar and punctuation in sentences and paragraphs.</p>	ES 1, 8
<p><b>Has the candidate met the following criteria for the overall project task</b></p> <p>Reports display appropriate readability by using appropriate grammar and punctuation in sentences and paragraphs.</p>	

### Assessment checklist – Assessor Note

Please complete the assessment checklist in the Candidate Guide to record the assessment process and outcome.

The checklist contains a declaration by the candidate as follows:

- The purpose and outcomes of the assessment have been explained.
- I have received information about the unit of competency.
- I understand the type of evidence to be collected.
- The appeals system has been explained to me.
- I have notified my assessor of any special needs that may need to be considered during the assessment.

The checklist contains a section for the assessor to record the following:

- Whether RPL / Accelerated progression is required
- Whether Language / Literacy / Numeracy support is required
- Any other special needs

## Assessment 3: Project

*The following instructions have been provided to the candidate.*

### Instructions to Candidate

This activity is related to the unit of competency **BSBMGT502B: Manage people performance**. In particular, you will be required to demonstrate your skills and knowledge in relation to this unit of competency.

You may refer to your training materials and other research if required. The activity may be completed in the workplace or a simulated workplace.

Your assessor will use a checklist to record the assessment decision.

### Overview

Below are a number of practical tasks to be completed over a period of time in a real or simulated workplace where you will perform the duties of a **manager**. The times for completion of the tasks are to be negotiated between yourself and the assessor. The tasks will reflect your ability to:

Project: Provide a detailed description of a workplace performance management system, incorporating a critical analysis of its purpose and key areas.

Your assessor will provide you with instructions and complete a checklist on which they will record your satisfactory performance of workplace tasks.

The Project Tasks table below identifies the documents that you are required to prepare and submit in your evidence portfolio. They may be presented in printed format in a folder or as an electronic copy.

Ensure both your name and student number is clearly displayed.

## Instructions to Assessor

The following benchmarks are supplied for you (the assessor). Please ensure when marking the candidate's work that you adhere to the prescribed benchmarks which are intended as a guide to ensure consistency of assessment.

Project Tasks	Mapping
The following tasks may be completed as a workplace project based on your own organisation and job role, or as a simulated workplace project based on a fictitious organisation, or an organisation you are familiar with.	
<p>1. Performance management is defined as:</p> <p>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 long-term.</p> <ul style="list-style-type: none"><li>Describe how you would design performance management and review processes, including the following.<ul style="list-style-type: none"><li>Employee duty statement – purpose and how designed</li><li>Induction procedure – purpose and subjects covered</li><li>Performance indicators – purpose and how designed</li><li>Staff development plans – purpose and how developed and agreed</li><li>Recognition for performance – purpose and procedures</li><li>Feedback – purpose and methods</li><li>Grievance procedures – purpose and procedures</li><li>Formal performance reviews – purpose and outcomes</li></ul></li><li>Describe how you would ensure that the performance management and review processes were designed to be consistent with organisational objectives and policies.<ul style="list-style-type: none"><li>Identify the organisational documentation that you would access and refer to</li><li>Identify people that you would consult for expert advice within the organisation.</li></ul></li></ul> <p>You are required to provide your assessor with the following document:</p> <ul style="list-style-type: none"><li>A report with the title “<b>Designing Processes</b>”.</li></ul>	<p>PC 2.1 CAE 1 RS 1, 3 ES 1-2, 5</p>

**Has the candidate met the following criteria for Task 1**

*The candidate's response will vary*

A document with the title "Designing Processes" containing:

- Employee duty statement – purpose and how designed
  - Purpose – shared understanding
  - How designed – reference to organisational objectives and policies
- Induction procedure – purpose and content
  - Purpose – shared understanding
  - Content – OHS, organisational structure and reporting, terms and conditions of employment
- Performance indicators – purpose and how designed
  - Purpose – shared understanding of organisational objectives and how measured
  - Designed – by manager in consultation with HR and agreed with the employees
- Staff development plans – purpose and how developed and agreed
  - Purpose – increasing the probability of achieving organisational objectives.
  - How developed – training needs analysis – identification of knowledge/skills gaps, feedback to and from manager – investigation of options for training / staff development
- Recognition for performance – purpose and procedures
  - Purpose – acknowledgement / reward / motivation
  - Procedures – annual review, bonus, incentive schemes etc
- Feedback – purpose and methods
  - Purpose – shared understanding
  - Methods – informal regular feedback to and from the manager, manager actively seeking feedback, team meetings, performance reviews, feedback from clients / customers etc.
- Grievance procedures – purpose and procedures
  - Purpose – comply with legislation
  - Procedures – Fair Work Act requires Fair Work Information Statement to be provided when a new employee commences
- Formal performance reviews – purpose and outcomes
  - Purpose – annual review often linked to salary, main purpose is to evaluate performance over the period and set performance and development goals for the following period
  - Outcomes – recognition/ acknowledgement of performance, possibly agreement on a performance improvement plan or staff development plan.
- Identify the organisational documentation that you would access and refer to
  - Organisational mission, vision, values
  - Business plan, strategic plan, organisational plan
- Identify people that you would consult for expert advice within the organisation.
  - Senior management, CEO
  - HR specialists



Project Tasks	Mapping
<p>2. For a performance management process to be effective in promoting the organisation's objectives and policies, it is essential to train participants to understand the performance management and review process.</p> <ul style="list-style-type: none"> <li>Design a report that discusses the following: <ul style="list-style-type: none"> <li>Why it is important for a manager to train their team members in: <ul style="list-style-type: none"> <li>The organisation's objectives and policies.</li> <li>Performance standards</li> <li>Performance indicators and targets</li> <li>Code of Conduct and behavioural standards</li> <li>The performance review process</li> </ul> </li> <li>The methods that a manager can use to train participants in the performance management and review process</li> </ul> </li> </ul> <p>You are required to provide your assessor with the following document:</p> <ul style="list-style-type: none"> <li>A report with the title <b>"Training Participants"</b>.</li> </ul>	PC 2.2 CAE 1 RS 1 RK 5 ES 1-2, 7

Has the candidate met the following criteria for Task 2
<p><i>The candidate's response will vary</i></p> <p>A document with the title "Training Participants" containing:</p> <p>Why it is important for a manager to train their team members:</p> <ul style="list-style-type: none"> <li>Discussed the need for a goal/outcome focused team, as opposed to a team that focuses on tasks.</li> <li>Discussed performance standards in terms of quality and the need for a shared understanding of what an individual or group is required to achieve by setting clear objectives, and how this promotes the process of continuous improvement.</li> <li>Discussed performance indicators in terms of an objective method of measuring performance, and the importance of team members having input at the development stage understanding how they are developed and applying them to their own job role.</li> <li>Discussed the need for all employees to be made aware of organisational policies and expected standards of behaviour, and the consequences if the code of conduct is not complied with.</li> <li>Discussed the importance of employees understanding the purpose and process of performance reviews, so that they can actively contribute to the review process and self-evaluate, and to promote trust.</li> <li>Identified methods that a manager can use to train participants in performance management and review process, such as: <ul style="list-style-type: none"> <li>Instruction sheets, handouts, memorandums, notices, email</li> <li>Team meetings and presentations / training sessions</li> <li>External training by specialist organisations</li> <li>Coaching and mentoring by manager</li> <li>Presentations and training by HR specialists</li> </ul> </li> </ul>

Project Tasks	Mapping
<p>3. A key aspect of performance management is the formal performance review process, carried out according to organisational protocols and timelines.</p> <ul style="list-style-type: none"> <li>Design a report on how to conduct a formal performance review, explaining the following: <ul style="list-style-type: none"> <li>The purpose of formal performance reviews in the context of performance management and give at least one example.</li> <li>An example of an organisation's protocol and timelines for performance review.</li> <li>Instructions for the manager to follow: <ul style="list-style-type: none"> <li>How to prepare for a formal performance review of an individual.</li> <li>How to conduct the meeting (including a list of "do's and don'ts")</li> <li>How to complete and finalise the performance review</li> </ul> </li> </ul> </li> </ul> <p>You are required to provide your assessor with the following document:</p> <ul style="list-style-type: none"> <li>A report with the title "<b>Conduct PM Protocols</b>".</li> </ul>	<p>PC 2.3 CAE 1 RS 1, 3 ES 1-2, 6-7</p>

#### Has the candidate met the following criteria for Task 3

*The candidate's response will vary*

A document with the title "Conduct PM Protocols" containing:

- Identified the purpose of performance management, eg  
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 long-term.
- Identified some common purposes of formal performance review, eg
  - Evaluate how well the employee is performing
  - Evaluate how well the manager is supporting the employee
  - Motivate and provide goals for the employee
  - Explore development and training options
  - Explore areas for improvement
  - Recognise excellence
  - Review remuneration, give rewards.
- Identified organisational protocols and timelines eg after probation period, annual review
- Preparation should include:
  - Check employee records of previous performance and any performance agreements
  - Record achievement of KPIs
  - Give the employee notice at least 2 weeks and instructions for their own preparation
  - Arrange meeting
  - Document ratings for employee (often an organisational performance review form)
- Do's for the meeting
  - Allow sufficient time and private location
  - Give employee equal time for speaking
  - Listen and respond
  - Stick to facts
  - Consider how the employee can be supported
  - Acknowledge and celebrate excellence
- Don't for the meeting
  - Patronise or lecture
  - Go in with a fixed opinion
  - Concentrate on personalities and make judgements
- Conclude with a performance agreement – negotiated and signed
  - If disagreement, advise of appeals process

Project Tasks	Mapping
<p>4. It is important that employees fully understand the performance review procedure and see it as a benefit to them.</p> <ul style="list-style-type: none"> <li>Design a performance management protocol and timelines instruction sheet which you could give to each member of your team..</li> <li>The document should state: <ul style="list-style-type: none"> <li>Each team member's name and a date for their review (either end of probationary period or annual review date).</li> <li>A statement clarifying the purpose of the review.</li> <li>A checklist for the team member, explaining how to prepare for the review (note: there is no need to provide a performance review form)</li> <li>An explanation of the way the meeting will be conducted</li> <li>Suggestions to the team member on ways to prepare for the review.</li> <li>An explanation of the procedure for finalising the review at the end of the meeting.</li> <li>An explanation of the dispute resolution process, if agreement is not reached on outcomes.</li> </ul> </li> </ul> <p>You are required to provide your assessor with the following document:</p> <ul style="list-style-type: none"> <li>A document with the title <b>"PR Instructions for Employee"</b>.</li> </ul>	<p>PC 2.2, 2.3 CAE 1 RS 1, 3 RK 5 ES 1-2, 6-7</p>

Has the candidate met the following criteria for Task 4
<p><i>The candidate's response will vary</i></p> <p>A document with the title "PR Instructions for Employee" containing:</p> <ul style="list-style-type: none"> <li>Identified: <ul style="list-style-type: none"> <li>The date for the meeting</li> <li>Each team member's name and a date for their review (either end of probationary period or annual review date).</li> <li>The purpose of the review.</li> <li>How to prepare for the review (note: there is no need to provide a performance review form)</li> <li>The way the meeting will be conducted</li> <li>Suggestions to the team member on ways to prepare for the review.</li> <li>The procedure for finalising the review at the end of the meeting.</li> <li>The dispute resolution process, if agreement is not reached on outcomes.</li> </ul> </li> </ul>

Project Tasks	Mapping
<p>5. Regular performance reviews are insufficient alone for effective performance management. A manager should monitor and evaluate performance on a continuous basis.</p> <p>Case Study:</p> <p>You are the senior manager of a warehousing company, with a warehouse in each capital city in Australia. You are located in Brisbane. The warehouse supervisors report directly to you.</p> <p>There have been several Workers Compensation claims for back injuries in the past 6 months, the majority from the Sydney warehouse.</p> <p>You need to put in place a procedure for monitoring compliance with OHS requirements in each warehouse.</p> <ul style="list-style-type: none"> <li>Design a procedure for you to monitor: <ul style="list-style-type: none"> <li>Training and induction processes in each warehouse</li> <li>Supervision of activities and safety procedures in each warehouse.</li> <li>Records of injuries or unsafe work practices in each warehouse.</li> </ul> </li> <li>Your procedure should state: <ul style="list-style-type: none"> <li>The records to be kept</li> <li>A schedule for reporting the information to you</li> </ul> </li> <li>State what you will evaluate in relation to the reports, and the performance standard required.</li> <li>Design a memorandum to be sent to each warehouse supervisor, instructing them as to your requirements.</li> </ul> <p>You are required to provide your assessor with the following document:</p> <ul style="list-style-type: none"> <li>A document with the title <b>“OHS Monitoring Procedure”</b>.</li> </ul>	<p>PC 2.4 CAE 1 RS 1-3 ES 1, 3, 5-6</p>

Has the candidate met the following criteria for Task 5
<p><i>The candidate's response will vary</i></p> <p>A document with the title “OHS Monitoring Procedure” containing:</p> <ul style="list-style-type: none"> <li>Designed an appropriate monitoring procedure for the senior manager.</li> <li>Identified records to be kept (training, induction, records of supervision/observation of safe work practices, minutes of team meetings, records of incidents / accidents.</li> <li>Identified a regular reporting schedule (eg monthly)</li> <li>Stated performance standards – all employees are fully trained in safe work practices, supervisor observes on a daily basis, regular team meetings (eg weekly), safe work practices are used at all times, incidents and accidents are dealt with immediately to minimise further injury, reports on incidents / accidents state the reason it occurred and the control method put in place to prevent recurrence.</li> <li>Designed an instruction memorandum to the warehouse supervisors, clearly stating requirements.</li> </ul>

Project Task	Mapping
<p><b>The overall project task:</b></p> <p>Compile all the above documents together. They will be assessed separately and then assessed for overall readability, which includes use of appropriate grammar and punctuation in sentences and paragraphs.</p>	ES 1, 8
<p><b>Has the candidate met the following criteria for the overall project task</b></p> <p>Reports display appropriate readability by using appropriate grammar and punctuation in sentences and paragraphs.</p>	

### Assessment checklist – Assessor Note

Please complete the assessment checklist in the Candidate Guide to record the assessment process and outcome.

The checklist contains a declaration by the candidate as follows:

- The purpose and outcomes of the assessment have been explained.
- I have received information about the unit of competency.
- I understand the type of evidence to be collected.
- The appeals system has been explained to me.
- I have notified my assessor of any special needs that may need to be considered during the assessment.

The checklist contains a section for the assessor to record the following:

- Whether RPL / Accelerated progression is required
- Whether Language / Literacy / Numeracy support is required
- Any other special needs

## Assessment 4: Project

*The following instructions have been provided to the candidate.*

### Instructions to Candidate

This activity is related to the unit of competency **BSBMGT502B: Manage people performance**. In particular, you will be required to demonstrate your skills and knowledge in relation to this unit of competency.

You may refer to your training materials and other research if required. The activity may be completed in the workplace or a simulated workplace.

Your assessor will use a checklist to record the assessment decision.

### Overview

Below are a number of practical tasks to be completed over a period of time in a real or simulated workplace where you will perform the duties of a **manager**. The times for completion of the tasks are to be negotiated between yourself and the assessor. The tasks will reflect your ability to:

Project: Identify and analyse techniques for providing feedback and coaching for improvement in performance

Your assessor will provide you with instructions and complete a checklist on which they will record your satisfactory performance of workplace tasks.

The Project Tasks table below identifies the documents that you are required to prepare and submit in your evidence portfolio. They may be presented in printed format in a folder or as an electronic copy.

Ensure both your name and student number is clearly displayed.

## Instructions to Assessor

The following benchmarks are supplied for you (the assessor). Please ensure when marking the candidate's work that you adhere to the prescribed benchmarks which are intended as a guide to ensure consistency of assessment.

Project Tasks	Mapping
The following tasks may be completed as a workplace project based on your own organisation and job role, or as a simulated workplace project based on a fictitious organisation, or an organisation you are familiar with.	
<p>1. Staff members who receive frequent (at least weekly) feedback from their superiors are more likely to remain goal centred.</p> <ul style="list-style-type: none"> <li>Design a report that outlines the reasons why it is essential for a manager to provide frequent feedback, and the communication skills that a manager needs in order for feedback to be effective. <ul style="list-style-type: none"> <li>Discuss how feedback helps an employee to achieve performance standards.</li> <li>Explain the term "active listening" and why this is an important skill for managers.</li> <li>Describe an example of a manager giving constructive criticism and contrast it with an example of destructive criticism.</li> <li>Explain why it is important to keep feedback on a factual level, giving examples of inappropriate feedback.</li> <li>Explain why it is important to focus on future behaviour and performance, rather than focusing on past actions.</li> <li>Explain how correct use of questioning can ensure that feedback is effective.</li> <li>Explain the importance of follow-up after giving feedback, and give an example that highlights the point.</li> </ul> </li> </ul> <p>You are required to provide your assessor with the following document:</p> <ul style="list-style-type: none"> <li>A document with the title "<b>Feedback and Communication Techniques</b>".</li> </ul>	PC 3.1 CAE 2 RS 1 ES 1-2, 7

### Has the candidate met the following criteria for Task 1

*The candidate's response will vary*

A document with the title "Feedback and Communication Techniques" containing:

- Feedback helps an employee to achieve performance by focusing on goals and outcomes, and a shared understanding of performance requirements.
- Active listening involves concentrating on what is said and repeating back the key points to confirm understanding
- Example of constructive criticism – "this is an area where you can improve".
- Example of destructive criticism – "you did that task badly, yet again"
- Keeping to a factual level encourages objectivity. Inappropriate feedback example "you have a personality problem and just can't get along with the rest of the team"
- Focusing on past outcomes is negative, focusing on future gives an opportunity to change and improve. It explains the manager's expectations and promotes a shared understanding.
- Questioning is a key part of active listening – you can ask open ended questions so that the employee can respond in such a way that you know they understood.
- Follow up is essential, particularly where improvement is required, in order to ensure that the employee is meeting performance standards. Also for the employee to appreciate the importance of improvement.

Project Tasks	Mapping
<p>2. Informal feedback is a key aspect of regular monitoring. A manager must be aware of issues and resolve them as soon as possible, in order to prevent the problem escalating.</p> <ul style="list-style-type: none"> <li>Design a report that discusses the strengths and weaknesses of the four main leadership styles: <ul style="list-style-type: none"> <li>Directing</li> <li>Problem Solving</li> <li>Developing</li> <li>Delegating</li> </ul> </li> <li>Discuss the ways that each type of leader would monitor performance and give feedback.</li> <li>Identify what you consider the best mixture of leadership styles to enable a manager to provide effective informal feedback to staff on a regular basis.</li> </ul> <p>You are required to provide your assessor with the following document:</p> <ul style="list-style-type: none"> <li>A document with the title “<b>Regular Feedback Leadership Styles</b>”.</li> </ul>	PC 3.1 CAE 2 RS 1 ES 1-2, 7

Has the candidate met the following criteria for Task 2
<p><i>The candidate's response will vary</i></p> <p>A document with the title “Regular Feedback Leadership Styles” containing:</p> <ul style="list-style-type: none"> <li>Directing <ul style="list-style-type: none"> <li>Strengths: Gives people clear directions; provides explanations and honest feedback.</li> <li>Weaknesses: Dominating, taking control when it is unnecessary, interrupting the efforts of others, and overriding other people's ideas.</li> </ul> </li> <li>Problem Solving <ul style="list-style-type: none"> <li>Strengths: Identifies problems, Clarifies goals, Suggests alternatives, Chooses the best solution, Monitors implementation, Seeks input from others, Listens to people's concerns</li> <li>Weaknesses: Meets for the sake of meeting, discusses issues but does not listen, involves people but produces no action.</li> </ul> </li> <li>Developing <ul style="list-style-type: none"> <li>Strengths: Assists members of the group when they need support, provides information or opinions but supports others to develop solutions, encourages others to assume responsibility.</li> <li>Weaknesses: Over-accommodating. They could agree with anything and bend over backwards to be supportive, even when the requests are inappropriate or do not make sense</li> </ul> </li> <li>Delegating <ul style="list-style-type: none"> <li>Strengths: Empowers members of the group to make decisions and take action in areas where they have the ability or expertise</li> <li>Weaknesses: Need to take responsibility themselves when appropriate or they may risk team members becoming frustrated at having things “dumped” on them and lose respect.</li> </ul> </li> <li>Directing leader may supervise more than required.</li> <li>Problem solving leader may not provide sufficient monitoring and supervision.</li> <li>Developing leader may not monitor or actively give feedback.</li> <li>Delegating leader may not monitor sufficiently and only give broad “big picture” feedback</li> <li>Final paragraph should identify the need for a manager to be a mixture of all 4 leadership styles depending upon circumstances.</li> </ul>



Project Tasks	Mapping
<p>3. An essential aspect of performance management is for a manager to deal effectively with poor performance.</p> <ul style="list-style-type: none"> <li>Design a report explaining: <ul style="list-style-type: none"> <li>The importance of prompt action to resolve poor performance issues, and an example of a situation where poor performance escalated because the manager did not take prompt action.</li> <li>The actions that the manager should have taken in the example.</li> <li>The importance of keeping documented records of poor performance and advising relevant people.</li> </ul> </li> </ul> <p>You are required to provide your assessor with the following document:</p> <ul style="list-style-type: none"> <li>A document with the title <b>"Poor Performance and Necessary Action"</b>.</li> </ul>	<p>PC 3.2 CAE 2 RS 1 ES 1-2, 6-7</p>

Has the candidate met the following criteria for Task 3
<p><i>The candidate's response will vary</i></p> <p>A document with the title "Poor Performance and Necessary Action" containing:</p> <ul style="list-style-type: none"> <li>Provided a real-life or realistic example of poor performance and the consequences when the manager does not take prompt action.</li> <li>Identified the actions the manager should have taken in the example: <ul style="list-style-type: none"> <li>Prepare for the meeting</li> <li>Meet with the individual privately</li> <li>State the facts – clarify what was not acceptable and clarify what is acceptable</li> <li>Facilitate a discussion for the individual to explore the reasons</li> <li>Gain agreement</li> <li>Document the meeting and report to HR.</li> <li>Follow up and monitor</li> </ul> </li> <li>Importance of records so that if poor performance is not rectified there is evidence of actions taken prior to disciplinary action or termination.</li> </ul>

Project Tasks	Mapping
<p>4. The main role of a manager is to facilitate the team in achieving the organisation's objectives. This places them in a similar role to a sporting coach, who does not actually play the game, but facilitates the players.</p> <ul style="list-style-type: none"> <li>Design a report explaining the following. Give examples in each case to illustrate your explanations: <ul style="list-style-type: none"> <li>The two meanings of "coaching" <ul style="list-style-type: none"> <li>recognising and finding opportunities to use talent</li> <li>on-the-job coaching to build knowledge, skills and give practice</li> </ul> </li> <li>Contrasting "coaching" with "mentoring".</li> <li>Explain how a manager can use coaching to confirm excellence.</li> <li>Explain how a manager can use coaching to improve performance.</li> </ul> </li> </ul> <p>You are required to provide your assessor with the following document:</p> <ul style="list-style-type: none"> <li>A document with the title <b>"The Role of Coaching"</b></li> </ul>	PC 3.3 CAE 2 RS 1, 3 RK 5 ES 1-2, 4, 7

Has the candidate met the following criteria for Task 4
<p><i>The candidate's response will vary</i></p> <p>A document with the title "The Role of Coaching" containing:</p> <p>Provided real life or realistic examples to illustrate:</p> <ul style="list-style-type: none"> <li>Recognising talent and giving opportunities for development</li> <li>On-the-job coaching to build skills, knowledge and give practice (may include job rotation)</li> <li>Coach: usually the manager – not in the same job role but gives advice and direction</li> <li>Mentor: usually a more experienced co-worker – may be appointed by the manager</li> <li>Coaching to confirm excellence by giving opportunities for professional development and career advancement</li> <li>Coaching to improve performance by counselling, appointing a mentor, giving on-the-job specific advice.</li> </ul>

Project Tasks	Mapping
<p>5. An effective performance management system implies keeping and regularly reviewing documented records, and reporting as necessary.</p> <ul style="list-style-type: none"> <li>Design a checklist of the documents that a manager would need to keep in accordance with the organisational performance management system. Identify the purpose of the document, how the information would be recorded and how it would be reported and retained. <ul style="list-style-type: none"> <li>Documents that would be retained by Human Resources in the employee's file, as part of the performance management and review system.</li> <li>Documents that the manager would retain as a record of performance management activities.</li> </ul> </li> </ul> <p>You are required to provide your assessor with the following document:</p> <ul style="list-style-type: none"> <li>A document with the title "<b>Performance Management Records</b>"</li> </ul>	PC 3.4 CAE 1 RS 3 ES 6

Has the candidate met the following criteria for Task 5
<p><i>The candidate's response will vary</i></p> <p>A document with the title "Performance Management Records" containing:</p> <ul style="list-style-type: none"> <li>Identified HR performance management documents such as: <ul style="list-style-type: none"> <li>Records of performance reviews and outcomes</li> <li>Performance agreements</li> <li>Job description or duty statement</li> <li>Records of disciplinary action</li> <li>Records of rewards and acknowledgement of excellence in performance.</li> <li>Training and professional development records</li> </ul> </li> <li>Identified manager records such as: <ul style="list-style-type: none"> <li>Diary notes of individual feedback</li> <li>Minutes of team meetings</li> <li>Records of communication with HR experts and other consultants</li> </ul> </li> </ul>

Project Tasks	Mapping
<p>6. Formal structured feedback sessions are an integral part of the policy of many organisations. These may be regular performance reviews or counselling sessions to correct poor performance issues.</p> <p>When conducting a formal structured feedback session, a manager should:</p> <ul style="list-style-type: none"> <li>○ Prepare for the meeting</li> <li>○ Allow sufficient time and private location</li> <li>○ Give the employee equal time for speaking</li> <li>○ Listen and respond using active listening and questioning</li> <li>○ Stick to facts rather than personalities and emotions</li> <li>○ Consider how the employee can be supported</li> <li>○ Acknowledge and celebrate excellence</li> <li>○ Negotiate agreement.</li> </ul> <ul style="list-style-type: none"> <li>● Design a report that explains the reasons why a manager should do all of the above. Give an example to illustrate your reasons.</li> </ul> <p>You are required to provide your assessor with the following document:</p> <ul style="list-style-type: none"> <li>● A document with the title “<b>Conducting Structured Feedback Sessions</b>”</li> </ul>	<p>PC 3.5 CAE 2 RS 1, 3 ES 1-2, 7</p>

Has the candidate met the following criteria for Task 6
<p><i>The candidate's response will vary</i></p> <p>A document with the title “Conducting Structured Feedback Sessions” containing:</p> <ul style="list-style-type: none"> <li>● Identified reasons why the manager needs to do all of the following, and provided a real life or realistic example to illustrate their explanations. <ul style="list-style-type: none"> <li>○ Prepare for the meeting (so that they have all the facts and are clear about the purpose of the meeting)</li> <li>○ Allow sufficient time and private location (to allow for open, confidential discussion)</li> <li>○ Give the employee equal time for speaking (to avoid dominating or “lecturing”)</li> <li>○ Listen and respond using active listening and questioning (to ensure a shared understanding)</li> <li>○ Stick to facts rather than personalities and emotions (to maintain objectivity)</li> <li>○ Consider how the employee can be supported (self-evaluation by the manager)</li> <li>○ Acknowledge and celebrate excellence (motivating the employee)</li> <li>○ Negotiate agreement (ensuring commitment by the employee to the outcome)</li> </ul> </li> </ul>

Project Task	Mapping
<p><b>The overall project task:</b></p> <p>Compile all the above documents together. They will be assessed separately and then assessed for overall readability, which includes use of appropriate grammar and punctuation in sentences and paragraphs.</p>	ES 1, 8
<p><b>Has the candidate met the following criteria for the overall project task</b></p> <p>Reports display appropriate readability by using appropriate grammar and punctuation in sentences and paragraphs.</p>	

### Assessment checklist – Assessor Note

Please complete the assessment checklist in the Candidate Guide to record the assessment process and outcome.

The checklist contains a declaration by the candidate as follows:

- The purpose and outcomes of the assessment have been explained.
- I have received information about the unit of competency.
- I understand the type of evidence to be collected.
- The appeals system has been explained to me.
- I have notified my assessor of any special needs that may need to be considered during the assessment.

The checklist contains a section for the assessor to record the following:

- Whether RPL / Accelerated progression is required
- Whether Language / Literacy / Numeracy support is required
- Any other special needs

## Assessment 5: Project

*The following instructions have been provided to the candidate.*

### Instructions to Candidate

This activity is related to the unit of competency **BSBMGT502B: Manage people performance**. In particular, you will be required to demonstrate your skills and knowledge in relation to this unit of competency.

You may refer to your training materials and other research if required. The activity may be completed in the workplace or a simulated workplace.

Your assessor will use a checklist to record the assessment decision.

### Overview

Below are a number of practical tasks to be completed over a period of time in a real or simulated workplace where you will perform the duties of a **manager**. The times for completion of the tasks are to be negotiated between yourself and the assessor. The tasks will reflect your ability to:

Project: Identify methods of managing follow-up in accordance with legislative requirements, relevant awards and agreements and organisational policies and procedures.

Your assessor will provide you with instructions and complete a checklist on which they will record your satisfactory performance of workplace tasks.

The Project Tasks table below identifies the documents that you are required to prepare and submit in your evidence portfolio. They may be presented in printed format in a folder or as an electronic copy.

Ensure both your name and student number is clearly displayed.

## Instructions to Assessor

The following benchmarks are supplied for you (the assessor). Please ensure when marking the candidate's work that you adhere to the prescribed benchmarks which are intended as a guide to ensure consistency of assessment.

Project Tasks	Mapping
The following tasks may be completed as a workplace project based on your own organisation and job role, or as a simulated workplace project based on a fictitious organisation, or an organisation you are familiar with.	
<p>1. Part of the process of performance management is to agree upon performance development plans for individuals. Many employers encourage employees to draft their own performance development plans, and this often goes hand in hand with a change management process.</p> <ul style="list-style-type: none"> <li>Design a performance development plan for yourself, as manager of your team, which incorporates: <ul style="list-style-type: none"> <li>A statement of your job role in terms of how you promote the mission of the team and the organisation as a whole.</li> <li>A summary of the measurable performance standard/s that you need to enable your team to achieve.</li> <li>The method/s you will use to measure whether the performance standards are achieved.</li> <li>A statement of the behavioural performance standards and role modelling that you need to achieve.</li> <li>The key skills that you need to achieve high performance in your position.</li> <li>The key knowledge that you need to achieve high performance in your position</li> <li>Your personal career aspirations.</li> <li>Areas where there are "gaps" in your knowledge and/or skills and the training or other methods you will use to bridge the gaps.</li> </ul> </li> </ul> <p>You are required to provide your assessor with the following document:</p> <ul style="list-style-type: none"> <li>A document with the title "<b>Performance Development Plan</b>"</li> </ul>	PC 4.1 RS 1, 3 RK 5 ES 1-2, 4, 7

### Has the candidate met the following criteria for Task 1

*The candidate's response will vary*

A document with the title "Performance Development Plan" containing:

- Identified their job role in terms of how it promotes organisational goals.
- Identified their responsibility to facilitate team performance outcomes and at least one measurable team performance standard (KPI) – including how it will be measured.
- Identified key behavioural performance standards, setting an example for the team and acting as a role model.
- Identified key skills involving communication, analysis, problem solving, innovation, empathy, self-management and prioritising.
- Identified key knowledge involving legislative and organisational requirements, knowledge of performance management organisational procedures, theory and practice, awards and employment conditions.
- Identified personal career aspirations and methods of self-development through training or other methods.

Project Tasks	Mapping
<p>2. A Performance Improvement Plan is an Action Plan, designed to assist in overcoming poor performance problems. It is usually part of the organisational procedure for counselling on poor performance issues. It is a signed agreement between the employer (represented by the manager) and the employee.</p> <p>Case Study:</p> <p>You are the senior manager of a warehousing company, with a warehouse in each capital city in Australia. You are located in Brisbane. The warehouse supervisors report directly to you.</p> <p>There have been several Workers Compensation claims for back injuries in the past 6 months, the majority from the Sydney warehouse.</p> <p>As a result, you put in place a procedure for monitoring compliance with OHS requirements which involved the warehouse supervisors preparing a monthly report on:</p> <ul style="list-style-type: none"> <li>▪ OHS training completed</li> <li>▪ OHS inductions completed</li> <li>▪ Observation checklist completed daily by warehouse supervisor</li> <li>▪ Minutes of team meetings</li> <li>▪ Records of incidents / accidents</li> </ul> <p>The Sydney warehouse supervisor's monthly report was sent one week late and was incomplete. There were no records of training or meetings. The observation checklists were incorrectly completed and you suspect that the warehouse supervisor did not actually conduct the observations.</p> <ul style="list-style-type: none"> <li>• Draft a performance improvement plan for the Sydney warehouse supervisor. Note that in reality you would not finalise the plan until the close of the counselling interview. You would prepare the plan as a draft for negotiation. The plan should have the following headings: <ul style="list-style-type: none"> <li>○ Areas requiring improvement (performance objectives)</li> <li>○ Strategies for Improvement</li> <li>○ Outcomes sought and by when</li> <li>○ Schedule for monitoring progress and final outcome.</li> </ul> </li> </ul> <p>You are required to provide your assessor with the following document:</p> <ul style="list-style-type: none"> <li>• A document with the title "<b>Performance Improvement Plan</b>"</li> </ul>	<p>PC 4.1 RS 1, 3 CAE 2 ES 1-2, 5, 7</p>

#### Has the candidate met the following criteria for Task 2

*The candidate's response will vary*

A document with the title "Performance Improvement Plan" containing:

- Performance objectives: Conduct required OHS training report monthly. Conduct weekly team meetings and document minutes. Observation must be completed before work every day. Ensure monthly report is delivered within 2 days of month end.
- Strategies: Complete a training needs analysis of all staff for OHS knowledge and skills. Arrange weekly team meetings and document minutes. Attend work early and complete observation checklist every day. Prioritise work load so that report is completed at the end of month.
- Outcomes sought – accurate monthly report on time with all elements correct. Reduction of incident/accident rate. By the end of the month.
- Schedule – end of first month and end of second month. Final outcome end of third month.



Project Tasks	Mapping
<p>3. Managers should seek assistance from human resources specialists where appropriate.</p> <ul style="list-style-type: none"> <li>Design a report, indicating the ways that a manager would use HR specialists in the following areas. Use examples to illustrate your points. <ul style="list-style-type: none"> <li>Recognition of excellence</li> <li>Poor performance</li> <li>Terms of employment</li> <li>Legislative requirements</li> <li>Training and professional development.</li> <li>Disciplinary procedures and termination</li> </ul> </li> </ul> <p>You are required to provide your assessor with the following document:</p> <ul style="list-style-type: none"> <li>A document with the title <b>"The role of HR"</b></li> </ul>	<p>PC 4.2 ES 1, 6</p>

#### Has the candidate met the following criteria for Task 3

*The candidate's response will vary*

A document with the title "The role of HR" containing:

- Provided real life or realistic examples of situations where HR would be used:
  - Recognising excellence – advising on organisational policy and procedures
  - Poor performance – perhaps assisting with counselling; advising on organisational policy and procedures and legislative requirements
  - Terms of employment – expertise in award structure, workplace agreements, unions etc.
  - Legislative requirements – expertise in OHS, anti-discrimination legislation and Fair Work Act
  - Training and professional development – advising on organisational policy and procedures and relationships with training organisations, knowledge of funding etc.
  - Disciplinary procedures and termination – advising on organisational policy and procedures and legislative requirements – essential to call in HR for this area.

Project Tasks	Mapping
<p>4. A good performance management system will do more than resolve poor performance issues. It will also reinforce excellence through recognition and continuous feedback.</p> <ul style="list-style-type: none"><li>• Design a report that explores the ways that an organisation can reinforce excellence in performance. Discuss the following areas and your opinion of their effectiveness as an incentive:<ul style="list-style-type: none"><li>○ Financial rewards</li><li>○ Professional development</li><li>○ Team and individual reward/incentive schemes</li><li>○ Praise and acknowledgement</li></ul></li></ul> <p>You are required to provide your assessor with the following document:</p> <ul style="list-style-type: none"><li>○ A document with the title <b>“Reinforcing Excellence”</b></li></ul>	PC 4.3 ES 1-2, 4

#### Has the candidate met the following criteria for Task 4

*The candidate's response will vary*

A document with the title “Reinforcing Excellence” containing:

- Identified salary increases, bonuses, fringe benefits (eg company vehicle)
- Identified giving opportunities for training and career path as an incentive/reward
- Discussed incentive schemes and the advantages of team incentives to achieve team goals.
- Explained the need for a manager to give praise and acknowledgement when it is due for exceptional performance (to celebrate success).

Project Tasks	Mapping
<p>5. Poor performance issues always have a reason. All employees wish to perform well. A manager needs to coach and monitor poor performers and support them to improve.</p> <p>Case Study</p> <p>Fu Wung's Chinese Restaurant has employed a new food purchasing officer (Lee). Lee previously worked as a kitchen hand for the restaurant. The previous food purchasing officer has moved back to China. The mission of Fu Wung's Restaurant is to provide high quality Chinese food using the freshest ingredients. Lee is buying fish and seafood at the markets which is not fresh enough for the chef's high standards.</p> <ul style="list-style-type: none"> <li>Design a report explaining how the restaurant manager can resolve Lee's poor performance by coaching and monitoring, bearing in mind that: <ul style="list-style-type: none"> <li>The only person who understands the chef's requirements is the chef himself.</li> <li>Lee is intelligent and motivated enough to follow instructions</li> <li>Lee is quiet and respectful and will not actively question the chef</li> <li>In order for Lee to be effective in his new role, he must firstly be able to identify freshness in seafood but also have the skills to actively question the chef.</li> </ul> </li> </ul> <p>As the restaurant manager, you need to identify and deal with the underlying problem as well as the obvious problem.</p> <p>You are required to provide your assessor with the following document:</p> <ul style="list-style-type: none"> <li>A document with the title "<b>Monitoring and Coaching</b>"</li> </ul>	<p>PC 4.4 RS 1 RK 5 CAE 2 ES 1-2, 7</p>

Has the candidate met the following criteria for Task 5
<p><i>The candidate's response will vary</i></p> <p>A document with the title "Monitoring and Coaching" containing:</p> <ul style="list-style-type: none"> <li>Restaurant manager can question chef directly, identify requirements and then coach Lee.</li> <li>Restaurant manager might go with Lee to the markets for seafood.</li> <li>The main issue is that Lee needs coaching from the manager in order to know how to communicate with chef.</li> <li>The restaurant manager can monitor performance through discussion with chef.</li> </ul>

Project Tasks	Mapping
<p>6. A manager should provide support services for their employees where necessary, in order to resolve any issues that may cause poor performance.</p> <p><b>Case Study</b></p> <p>Frank is a purchasing officer for and import/export company on the 22nd floor of a building in Brisbane. He has worked there for a little over five years and has always performed satisfactorily. His work is mainly routine, but there is a high daily throughput required, and he has achieved this consistently in the past.</p> <p>Two months ago, his teenage daughter was tragically killed when she was a passenger in a car crash. Frank was given leave after the event, and returned to work two weeks after the accident.</p> <p>Since he returned to work, his performance has been poor and he is constantly behind schedule, needing help with his work load. He also does not have the same attention to detail and is making small mistakes.</p> <p>The stress of the tragedy caused Frank to take up smoking again. This entails him leaving his desk and descending in the lift to the ground floor about 5 times a day, reducing his working time further.</p> <ul style="list-style-type: none"> <li>Design a report that identifies the support services that Frank's manager should provide, and the way that they should deal with the problem. <ul style="list-style-type: none"> <li>Identify the key problem from the organisation's point of view.</li> <li>Describe how the manager should explain the problem to Frank.</li> <li>Identify the ways that the manager can seek expert advice on organisational policy for providing support.</li> <li>Identify the types of support that the manager might be able to provide, in terms of: <ul style="list-style-type: none"> <li>Internal support</li> <li>External support services</li> </ul> </li> </ul> </li> <li>Conclude your report by recommending a realistic approach by the organisation, in terms of the organisation's responsibilities and Frank's personal responsibilities.</li> </ul> <p>You are required to provide your assessor with the following document:</p> <ul style="list-style-type: none"> <li>A document with the title "<b>Providing Support Services</b>"</li> </ul>	<p>PC 4.5 RS 1 CAE 2 ES 1-2, 6</p>

Has the candidate met the following criteria for Task 6
<p><i>The candidate's response will vary</i></p> <p>A document with the title "Providing Support Services" containing:</p> <ul style="list-style-type: none"> <li>Key problem: work behind schedule, needing help with work load, leaving work 5 times a day for a cigarette.</li> <li>Explain the problem: Performance has fallen below Frank's previous standard. Problem needs to be resolved. Let's discuss the reasons and what we can do about it.</li> <li>Expert advice: HR experts within organisation will be able to advise on compassionate or stress leave, reassigning roles and any funding for employee support.</li> <li>Internal support: Change of working hours – perhaps reduce lunch break to allow for smoke breaks. Assign a mentor. Regular monitoring and coaching by manager, stress leave.</li> <li>External support services: Quit smoking help, grief counselling.</li> <li>Conclusion: Change of working hours and stress leave may be realistic options. Employer should be understanding of the problem and co-operate with Frank in resolving it, within the limits of organisational policy.</li> </ul>

Project Tasks	Mapping
<p>7. Individuals who continue to perform below expectations should be counselled. If they fail to improve, it may be necessary to implement disciplinary procedures. Whereas coaching is used for improving skills and knowledge, counselling is used where there is poor performance due to the individual's attitude. This is often caused by a situation in the employee's private life.</p> <ul style="list-style-type: none"> <li>• Design a report that explains the reasons for the following statements: <ul style="list-style-type: none"> <li>○ It is not appropriate for a manager to approach employees regarding issues in their private life.</li> <li>○ Where the manager identifies a problem, they must deal with it immediately.</li> <li>○ A counselling meeting should be private with sufficient time allowed.</li> <li>○ The manager should prepare all the facts before the meeting and have them available as documentary evidence.</li> <li>○ The manager should use open-ended questioning techniques</li> <li>○ The employee needs to acknowledge the behaviour and that it is unacceptable.</li> <li>○ The manager needs to clarify the behaviour that is required.</li> <li>○ The manager needs to clarify the consequences if there is no improvement.</li> <li>○ The employee needs to undertake to change their behaviour, and how they will do so.</li> <li>○ The manager needs to clarify the way the employee's behaviour will be monitored.</li> <li>○ The outcome should be documented in a performance improvement plan</li> <li>○ The performance improvement plan should be signed by manager and employee, a copy given to the employee and a copy retained on the employee's file.</li> </ul> </li> </ul> <p>You are required to provide your assessor with the following document:</p> <ul style="list-style-type: none"> <li>• A document with the title "<b>Counselling for continued poor performance</b>"</li> </ul>	<p>PC 4.6 RS 1 CAE 2 ES 1-2, 7</p>

**Has the candidate met the following criteria for Task 7**

*The candidate's response will vary*

A document with the title "Counselling for continued poor performance" containing:

- Manager's approach should be to discuss work performance and behaviour only.
- Behavioural problems escalate and can affect the whole team if the manager turns a blind eye.
- Privacy and time are essential for the employee to feel secure and able to discuss issues openly.
- The meeting should focus on facts rather than attitudes and the manager should have them available for reference in order to keep on track.
- Open ended questioning will lead the employee to explore the problem and come to a conclusion – rather than just "telling them" with yes or no answers only allowed.
- The employee needs to see what they are doing wrong and be motivated to resolve a behavioural issue.
- Clarifying the required behaviour ensures the employee knows what is expected.
- Consequences can be disciplinary measures or termination. Employee needs to take the problem seriously.
- Employee must agree to commit to a change, and explain how they will go about it, dealing in actual behaviour rather than "attitudes".
- Employee needs to realise that they will be monitored – the manager is serious and expects change.
- The outcome should be documented for clarity and both sign to indicate what the employee has agreed to do in terms of behaviour (as opposed to attitude).
- This agreement is documented evidence of a first warning which can be used to commence the disciplinary or termination process if behaviour does not improve.
- Employee has a right to be given a copy for transparency and for their own reference.

Project Tasks	Mapping
<p>8. Disciplinary measures may be appropriate where an employee breaches the organisation's code of conduct. This constitutes misconduct, as opposed to poor performance.</p> <p>Organisational procedures for a breach of the code of conduct would usually include:</p> <ul style="list-style-type: none"> <li>▪ Involving human resources experts</li> <li>▪ Conducting an investigation into the breach</li> <li>▪ Giving the employee an opportunity to explain their point of view</li> <li>▪ Providing a formal report on the outcome of the investigation and recommending disciplinary measures or other action.</li> <li>▪ Conducting a disciplinary interview with the employee (usually with HR expert assisting)</li> <li>▪ Advising the employee of their rights of appeal or review.</li> </ul> <ul style="list-style-type: none"> <li>• Design a report that discusses disciplinary measures. Explain the following: <ul style="list-style-type: none"> <li>○ The role of positive discipline and role modelling.</li> <li>○ Reprimands, suspensions, fines, demotion or dismissal.</li> <li>○ Legislative requirements (name of the Act) and the role of the Fair Work Ombudsman</li> <li>○ Examples of minor misconduct.</li> <li>○ Examples of serious misconduct justifying summary dismissal.</li> </ul> </li> </ul> <p>You are required to provide your assessor with the following document:</p> <ul style="list-style-type: none"> <li>• A document with the title "<b>Disciplinary Measures</b>"</li> </ul>	<p>PC 4.6 RS 3 RK 1, 4 ES 1, 6</p>

**Has the candidate met the following criteria for Task 8**

*The candidate's response will vary*

A document with the title "Disciplinary Measures" containing:

- Positive discipline is where the employee knows the behaviour required and complies with the requirements without further action by the manager. The manager's responsibility is to ensure the employee knows the requirements.
- Reprimands, suspensions, fines, demotion or dismissal are all possible disciplinary measures, depending on seriousness of the breach. Must use the formal investigation, counselling, reporting and monitoring process according to organisational policy and procedures – involve HR. Must be fair and seen to be fair or could affect morale/attitude of co-workers.
- Fair Work Act 2009 – Fair Work Ombudsman – role is
  - offer people a single point of contact for them to get accurate and timely advice and information about Australia's workplace relations system
  - educate people working in Australia about their workplace rights and obligations
  - investigate complaints or suspected contraventions of workplace laws, awards and agreements
  - litigate to enforce workplace laws and deter people from doing wrong in the community.
- Minor misconduct – breach of code of conduct not constituting serious misconduct, appropriate for counselling and disciplinary measures (warning), not summary dismissal.
- Serious misconduct – warranting summary dismissal
  - caused a serious and imminent risk to the health or safety of a person.
  - caused a serious and imminent risk to the reputation, viability or profitability of the Employer's business.
  - conduct in the course of employment engaging in theft
  - conduct in the course of employment engaging in fraud.
  - conduct in the course of employment engaging in assault.
  - intoxicated at work, so impaired as to be unfit to be entrusted with employment duties.
  - refused to carry out a lawful and reasonable instruction that was consistent with contract of employment.



Project Tasks	Mapping
<p>9. An employer may terminate staff for poor performance or misconduct as long as their organisational procedures comply with legislative requirements.</p> <p>In order to ensure that an employee has no grounds for an appeal to the Fair Work Ombudsman for unfair dismissal, it is essential to follow the procedures very carefully.</p> <ul style="list-style-type: none"> <li>Design a report that explains the correct organisational procedures for termination, according to legislative requirements. Your report should be in 2 parts: <ul style="list-style-type: none"> <li>PART A: Termination for continued poor performance.</li> <li>PART B: Termination for serious misconduct.</li> </ul> </li> <li>Explain the correct procedure in both cases. <ul style="list-style-type: none"> <li>Explain how you ensure that employees are made aware of the rules at the outset.</li> <li>Identify the procedure for counselling for poor performance, written warnings and final written notice and termination interview.</li> <li>Identify the procedure for written notice and termination interview</li> </ul> </li> </ul> <p>You are required to provide your assessor with the following document:</p> <ul style="list-style-type: none"> <li>A document with the title <b>“Termination Procedures”</b></li> </ul>	<p>PC 4.7 RS 3 RK 1, 4 ES 6</p>

#### Has the candidate met the following criteria for Task 9

*The candidate's response will vary*

A document with the title “Termination Procedures” containing:

- PART A:
  - Initial counselling interview and agreed, signed performance improvement plan
  - Monitoring
  - Second counselling interview – if no improvement, written warning – involve HR at this point if not before
  - Monitoring
  - Termination interview – employee must be given an opportunity to put their point of view and this must be taken into account – then written notice of termination giving standard period of notice or payment in lieu of notice.
- PART B:
  - Summary dismissal for misconduct – involve HR
  - Termination interview required – employee must be given an opportunity to put their point of view and this must be taken into account. Then written notice of termination effective immediately.

Assessor note: The Fair Work Ombudsman web site has a template letter for summary dismissal.

<http://www.fairwork.gov.au/small-business-assistance/Documents/Letter-of-termination-serious-misconduct-summary-dismissal.doc>

Project Tasks	Mapping
<p>10. The Fair Work Act sets out different procedures for termination in the case of small business – the Small Business Fair Dismissal Code. The Fair Dismissal Code applies to small business employers with fewer than 15 full-time equivalent employees.</p> <ul style="list-style-type: none"> <li>Design a report that explains why there are different rules for small business, and the key elements of the code. <ul style="list-style-type: none"> <li>You may copy wording from the code, or summarise the code in your own words.</li> </ul> </li> </ul> <p>You are required to provide your assessor with the following document:</p> <ul style="list-style-type: none"> <li>A document with the title “<b>Small Business and Termination</b>”</li> </ul>	<p>PC 4.7 RS 3 RK 1, 4 ES 6</p>

#### Has the candidate met the following criteria for Task 10

*The candidate's response will vary*

A document with the title “Small Business and Termination” containing:

- Reasons why there are different rules:**
  - They recognise that small businesses usually:
    - Don't have big human resource departments to help them
    - Can't afford lost time
    - Can't find other positions for employees.
- Key elements:**
  - Small business **employees cannot make a claim for unfair dismissal in the first 12 months following their engagement**. If an employee is dismissed after this period and the employer has followed the Code then the dismissal will be deemed to be fair.
  - Summary Dismissal:** It is fair for an employer to dismiss an employee **without notice** or warning when the employer believes on reasonable grounds that the employee's conduct is sufficiently serious to justify immediate dismissal. Serious misconduct includes **theft, fraud, violence and serious breaches of occupational health and safety** procedures. For a dismissal to be deemed fair it is sufficient, though not essential, that an allegation of theft, fraud or violence be **reported to the police**. Of course, the employer must have reasonable grounds for making the report.
  - Other Dismissal:** In other cases, the small business employer must give the employee a **reason why** he or she is **at risk** of being dismissed. The reason must be a valid reason **based on the employee's conduct or capacity to do the job**. The employee must be warned verbally or **preferably in writing**, that he or she risks being dismissed if there is no improvement. The small business employer must provide the employee with an **opportunity to respond** to the warning and give the employee a **reasonable chance to rectify** the problem, having regard to the employee's response. Rectifying the problem might involve the employer providing additional **training** and ensuring the employee **knows the employer's job expectations**.
  - Representation:** In discussions with an employee in circumstances where dismissal is possible, the employee can have **another person present to assist**. However, the other person **cannot be a lawyer** acting in a professional capacity.
  - Evidence in claims for unfair dismissal:** A small business employer will be required to provide **evidence of compliance** with the Code if the employee makes a **claim** for unfair dismissal to Fair Work Australia, including **evidence that a warning has been given** (except in cases of summary dismissal). Evidence may include a completed checklist, copies of written warning(s), a statement of termination or signed witness statements.

Assessor note: The Fair Work Ombudsman website provides the code and a checklist at the following address:

<http://www.fairwork.gov.au/Termination-of-employment/Pages/Small-Business-Fair-Dismissal-code.aspx?role=employers&friendlyURL=1>

Project Task	Mapping
<p><b>The overall project task:</b></p> <p>Compile all the above documents together. They will be assessed separately and then assessed for overall readability, which includes use of appropriate grammar and punctuation in sentences and paragraphs.</p>	ES 1, 8
<p><b>Has the candidate met the following criteria for the overall project task</b></p> <p>Reports display appropriate readability by using appropriate grammar and punctuation in sentences and paragraphs.</p>	

### Assessment checklist – Assessor Note

Please complete the assessment checklist in the Candidate Guide to record the assessment process and outcome.

The checklist contains a declaration by the candidate as follows:

- The purpose and outcomes of the assessment have been explained.
- I have received information about the unit of competency.
- I understand the type of evidence to be collected.
- The appeals system has been explained to me.
- I have notified my assessor of any special needs that may need to be considered during the assessment.

The checklist contains a section for the assessor to record the following:

- Whether RPL / Accelerated progression is required
- Whether Language / Literacy / Numeracy support is required
- Any other special needs