



ASSESSMENT PLAN AND RECORD SHEET

A. Candidate details

Last Name First Name DOB

Ph/Mobile Email

Address State P/C

B. Employer details

Company Address

Contact Ph No.

C. Assessor details

Name Organisation

D. Assessment Context (tick the appropriate boxes or add details as required)

Table with 3 columns: Location/Conditions, Communication methods, Types of Information. Rows include Industry sector, Enterprise type, and Job type.

E. Assessment Results

Assessment Start Date Assessment Finish Date

Outcome of Assessment (Tick) [] COMPETENT [] NOT YET COMPETENT

Comments/feedback to clarify assessment process and result, including further skill development if required:

F. Candidate Comments

[Empty box for candidate comments]

G. Candidate Agreement

I agree that I was ready for assessment, and that the assessment process as explained to me has been followed. I have received a copy of this recording tool and the assessor has explained their decision. I also agree that this tool can be used by the Industry or RTO as evidence of competence.

Candidate signature Date

Assessor signature Date

STANDARD ASSESSOR GUIDELINES

General Instructions

- Candidate information and preparation
Assessors must confirm that the candidate is ready for assessment prior to commencing the process. The assessment process (including the purpose of the assessment, evidence collection, right to appeal and any special needs) must be explained to the candidate, who should sign in acknowledgement.
- Complete all relevant details in the Assessment Plan and Record Cover Sheet
- Conduct the assessment using **the Recording Tools provided**

1. Pre-Assessment

- Confirm assessment arrangements with candidate and employer/supervisor.
- Assist the candidate to gather evidence for all elements/performance criteria prior to sign-off.
- Arrange with the candidate/employer a suitable location with all required materials and equipment and confirm prior to assessment. Equipment must be safe, well-maintained and meet Australian Standards.

2. Safety Instructions

- Candidates must use all required PPE and observe safety procedures at all times.



The assessment should cease if, in the opinion of the assessor, the candidate's actions or changing circumstances or conditions on site, put themselves or co-workers at risk of injury or are likely to damage equipment/materials.

3. Legislative/Enterprise Requirements

- Ensure that all relevant health, safety and environment practices are followed, that any site-specific requirements are met and that relevant regulations and/or standards are adhered to.

4. Gathering Evidence

- **Gather at least three (3) types of evidence to confirm competence.**
Assess whether candidate performance and evidence supplied against each criteria is **COMPETENT (C)** or **NOT YET COMPETENT (NYC)**. **All elements and critical aspects of evidence from the unit of competence must be assessed, even if not applicable to the candidate's current workplace or job role.**
- **Demonstration/observation Assessment Tool:** use this tool to assess competence in skills and task performance. The assessment should take place in the workplace under normal operating conditions or under conditions that accurately simulate a realistic workplace. Assessors must ensure these requirements are met. One observation may not be sufficient to confirm competence.
- **Questions Assessment Tool:** use this tool to provide a framework for developing questions to test required knowledge. Develop questions to meet the individual work context requirements of the candidate. Retain a copy of questions asked and candidate answers with this assessment plan.
- **Confirmation of Consistent Competence Assessment Tool:** use this tool to record the source(s) of additional evidence gathered to **confirm the candidate's ability to consistently perform the task to the required standard.** Verification by a third party expert is the preferred third form of evidence, however assessors may also be guided by workplace documents, log books or other records that provide evidence of competence over time. Include copies of additional evidence documents where appropriate.

5. Recording the Decision

- Complete the assessment tool to indicate whether the candidate is **COMPETENT** or **NOT YET COMPETENT**. If the candidate is judged to be *Not Yet Competent* clearly indicate the reasons why, and identify any training or further practise needs if relevant.

ASSESSMENT PLAN SUMMARY

Suggested pre-requisites/co-requisites for this unit of competency:

Assessors should confirm that there is evidence of competency in any mandatory pre-requisites.

Verified as completed (✓)

Code & Unit

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What will be assessed?

The elements of competence to be assessed are:

- 1 Gather, convey and receive information
- 2 Carry out face-to-face routine communication
- 3 Apply visual communications
- 4 Participate in simple meeting processes
- 5 Maintain work relationships

What assessment methods will be used?

- Demonstration/observation to determine competence against critical and specific aspects, elements and required skills as listed.
- Questions to check required knowledge.
- Use of additional evidence to confirm consistent competence, such as a third party report or alternatively a log book, site production records or similar work records, or product samples or a portfolio of the candidate's work.

What resources may be required?

- Access to communication equipment, information sources and personnel
- Access to relevant work areas, equipment, tools and materials
- A scheduled meeting to attend
- Site documents, work plans, schedules and records
- Personal protective equipment
- Work signage

Are there any special conditions for the assessment?

None

NOTE: This assessment plan outlines the **minimum standard** endorsed by industry. The plan can be modified to meet local needs and/or needs of the candidate, including where assessment is part of on-going training, as long as the integrity of the assessment is maintained.

ASSESSMENT TOOL: DEMONSTRATION/OBSERVATION RECORD

Instructions:

Observe the way the candidate communicates and interacts while performing their daily work tasks, both in a normal work situation and by setting them specific tasks based on routine activities, for example getting them to interpret work instructions or signage, or asking them to convey a piece of information to another worker, or getting them to identify specific information in a MSDS.

Critical and Specific Evidence Requirements:

Indicate whether the candidate's performance was competent (C) or not yet competent (NYC) by ticking the appropriate box.

C	NYC	Candidate demonstrates the ability to:
<input type="checkbox"/>	<input type="checkbox"/>	Follow applicable Commonwealth, State or Territory legislative and regulatory requirements and codes of practice, including OHS, environmental and organisational policies and procedures, relevant to communicating and interacting in the workplace
<input type="checkbox"/>	<input type="checkbox"/>	Receive and relay verbal, non-verbal and written information in a clear, concise and accurate manner
<input type="checkbox"/>	<input type="checkbox"/>	Use a range of visual communication signals
<input type="checkbox"/>	<input type="checkbox"/>	Participate in workplace meetings using agreed processes to resolve issues

Performance Task(s)

Assessors; briefly describe the performance task(s) set for the candidate on this occasion

Unit Performance Criteria:

Indicate whether the candidate's overall performance for each element was competent (C) or not yet competent (NYC) and tick the appropriate box for each performance criteria observed.

C	NYC	
<input type="checkbox"/>	<input type="checkbox"/>	Element 1: Gather, convey and receive information
1.1	<input type="checkbox"/>	<p>The candidate identified, verified and followed the following OHS requirements relevant to communicating and interacting in the workplace</p> <ul style="list-style-type: none"> • THE USE OF PERSONAL PROTECTIVE EQUIPMENT AND CLOTHING • SAFETY EQUIPMENT • FIRST AID EQUIPMENT • FIRE FIGHTING EQUIPMENT • HAZARD AND RISK CONTROL • SAFE FOREST PRACTICES • • ELIMINATION OF HAZARDOUS MATERIALS AND SUBSTANCES • MANUAL HANDLING INCLUDING SHIFTING, LIFTING AND CARRYING • JOB RISK ASSESSMENTS • INDUSTRY STANDARDS • RELEVANT INDUSTRY CODES OF PRACTICE • DUTY OF CARE • <p>All applicable should be applied.</p>
1.2	<input type="checkbox"/>	<p>The candidate gathered, received and responded to the following types of verbal and written instructions with correct actions</p> <ul style="list-style-type: none"> • GRAPHICAL INSTRUCTIONS • SIGNAGE • PLANS • WORK BULLETINS • CHARTS AND HAND DRAWINGS • DOCUMENTS • MEMOS • MAPS • MATERIAL SAFETY DATA SHEETS (MSDS) • DIAGRAMS, • SKETCHES AND GRAPHICS • <p>The candidate should respond to at least three different types of instruction.</p>
1.3	<input type="checkbox"/>	<p>The candidate accurately conveyed instructions using the following relevant communication modes</p> <ul style="list-style-type: none"> • VERBAL AND NON-VERBAL LANGUAGE • CONSTRUCTIVE FEEDBACK • ACTIVE LISTENING • QUESTIONING TO CLARIFY AND CONFIRM UNDERSTANDING • USE OF POSITIVE, CONFIDENT AND COOPERATIVE LANGUAGE • USE OF LANGUAGE AND CONCEPTS APPROPRIATE TO INDIVIDUAL SOCIAL AND CULTURAL DIFFERENCES • CONTROL OF TONE OF VOICE AND BODY LANGUAGE • TELEPHONES (INCLUDING MOBILE) • EMAIL • FACSIMILE • INTERNET • TWO-WAY RADIOS

C	NYC	
		The candidate should use at least three different communication methods.
1.4	<input type="checkbox"/>	<p>The candidate responded to the following work signage with correct action</p> <ul style="list-style-type: none"> • SITE SAFETY SIGNS • DIRECTIONAL SIGNS • TRAFFIC SIGNS • FACILITY OR LOCATION SIGNS • HAZARDS • <p>All applicable should be applied</p>
1.5	<input type="checkbox"/>	The candidate conveyed (nominate type of) information to (nominate a person) in simple language and message was acknowledged and checked
1.6	<input type="checkbox"/>	The candidate gained additional information about (nominate) from (nominate person) and clarified understanding by asking questions
<input type="checkbox"/>	<input type="checkbox"/>	Element 2: Carry out face-to-face routine communication
2.1	<input type="checkbox"/>	The candidate received routine instructions and messages from (nominate person) and followed them
2.2	<input type="checkbox"/>	The candidate carried out (nominate type) workplace procedures to company requirements
2.3	<input type="checkbox"/>	<p>The candidate accessed and interpreted information from a range of sources (including those listed below) and checked it with appropriate personnel (including those listed below).</p> <p style="text-align: center;">INFORMATION</p> <ul style="list-style-type: none"> • COMPANY PROCEDURES • REGULATIONS • OHS REQUIREMENTS • INDUCTION PROCEDURES • INDUSTRIAL AGREEMENTS • CHECKLISTS • INSTRUCTIONS • DELIVERY DOCKETS • MSDS • WORKPLACE POLICIES • QUALITY REQUIREMENTS • BULLETINS, • MAPS • WORK SCHEDULES • EMERGENCY PROCEDURES • JOB RISK ASSESSMENTS • • <p style="text-align: center;">PERSONNEL</p> <ul style="list-style-type: none"> • SUPERVISORS • COLLEAGUES • CLIENTS • <p>The candidate should access and interpret information from at least three different sources, and check interpretation with appropriate personnel.</p>
2.4	<input type="checkbox"/>	The candidate selected and sequenced (nominate type) information correctly
2.5	<input type="checkbox"/>	<p>The candidate clearly and legibly conducted verbal and written reporting of the following types of matter in line with workplace procedures</p> <ul style="list-style-type: none"> • WORK OUTPUT • QUALITY OUTCOMES • HAZARDS • COMPLETION OF WRITTEN NOTES • SIMPLE WORKPLACE PROFORMAS OR DOCUMENTS • EMAIL COMMUNICATION,

C	NYC		<ul style="list-style-type: none"> INCIDENTS OR EQUIPMENT MALFUNCTIONS <p>The candidate should produce at least three different reports</p>
C	NYC		
<input type="checkbox"/>	<input type="checkbox"/>	Element 3: Apply visual communications	
3.1	<input type="checkbox"/>	<p>The candidate used the following types of visual communications following accepted industry practices or social conventions</p> <ul style="list-style-type: none"> EYE CONTACT HAND SIGNALS HAZARDS ELECTRONIC OR MECHANICAL SIGNALS <p>The candidate should use at least two different types of visual communication</p>	
3.2	<input type="checkbox"/>	The candidate obtained, checked and acknowledged the attention of the communicating parties (nominate relevant persons).	
3.3	<input type="checkbox"/>	The candidate clarified and checked the intention of the visual communication at each step with (nominate relevant persons).	
3.4	<input type="checkbox"/>	The candidate questioned or visually cancelled visual communications which are unclear or ambiguous with (nominate relevant persons).	
3.5	<input type="checkbox"/>	The candidate followed up unclear visual communications to avoid repeated problems with (nominate relevant persons).	
<input type="checkbox"/>	<input type="checkbox"/>	Element 4: Participate in simple meeting processes	
4.1	<input type="checkbox"/>	<p>The candidate identified correct process for the following types of meetings and followed to pre-determined or agreed procedures</p> <ul style="list-style-type: none"> TOOL-BOX MEETINGS TEAM MEETINGS PROJECT MEETINGS MEETINGS WITH LAND OWNERS STAFF MEETINGS INDUSTRIAL MEETINGS <p>The candidate participated acceptably in at least one type of meeting</p>	
4.2	<input type="checkbox"/>	The candidate sought and provided responses to others in the group in the following situation: (describe situation).	
4.3	<input type="checkbox"/>	The candidate made constructive contributions to the group. (Describe how)	
4.4	<input type="checkbox"/>	The candidate noted and communicated goals or outcomes to appropriate personnel. (Describe how)	
<input type="checkbox"/>	<input type="checkbox"/>	Element 5: Maintain work relationships	
5.1	<input type="checkbox"/>	<p>The candidate conducted communication with co-workers in a courteous manner which reflects sensitivity to the following types of individual social and cultural differences</p> <ul style="list-style-type: none"> LANGUAGE TRADITIONAL PRACTICES AND OBSERVATIONS BELIEFS VALUES PRACTICES FOOD DIET DRESS RELIGIOUS AND SPIRITUAL OBSERVANCES SOCIAL CONVENTIONS CULTURAL STEREOTYPES CONVENTIONS OF GENDER OR 	

C	NYC		
		SEXUALITY	
		The candidate should comply with all applicable	
5.2	<input type="checkbox"/>		The candidate shared relevant workplace information with co-workers to achieve designated individual and team goals and objectives. (Describe how)
5.3	<input type="checkbox"/>		The candidate provided assistance to and sought assistance from co-workers (nominate whom) to achieve work tasks.
5.4	<input type="checkbox"/>		The candidate identified and clarified contradictions, ambiguities, uncertainties or misunderstandings with appropriate personnel (nominate whom).

Write any additional comments below:

DRAFT

ASSESSMENT TOOL: QUESTION GUIDE

Instructions

- Modify or add to (but do not remove) the questions below as required to suit the particular workplace and assessment context.
- Document any additional questions that you will ask and attach to this assessment record.**
- Questions can be asked during the demonstration of skills or at a separate time as appropriate.
- Answers by the candidate should reflect the level of the unit in scope and detail.

Core questions

Indicate whether the candidate's performance was competent (C), not yet competent (NYC) by ticking the appropriate box.

	C	NYC	Questions to ascertain required knowledge	PC
1	<input type="checkbox"/>	<input type="checkbox"/>	What are the Occupational Health and Safety (OHS), legislative and organisational requirements of your job – how would you find out about them?	1.1
2	<input type="checkbox"/>	<input type="checkbox"/>	Who do you need to talk to in order to clarify work requirements?	2.3 5.3
3	<input type="checkbox"/>	<input type="checkbox"/>	What is your workplace environmental policy, including the safe disposal of waste – how would you find out about it?	2.2
4	<input type="checkbox"/>	<input type="checkbox"/>	Tell me what you understand about equal opportunity and anti-discrimination and how would you raise a discrimination issue in your workplace?	5.1
5	<input type="checkbox"/>	<input type="checkbox"/>	Give at least two examples of how you use maths when performing your job, for example calculating, estimating or measuring.	
6	<input type="checkbox"/>	<input type="checkbox"/>	What are some examples of workplace records, reports and information and how can these be accurately completed and maintained?	2.5

Unit specific questions

Indicate whether the candidate's performance was competent (C), not yet competent (NYC) by ticking the appropriate box.

	C	NYC	Questions to ascertain required knowledge	PC
7	<input type="checkbox"/>	<input type="checkbox"/>	Explain what is meant by "active listening", and give an example of how you would use active listening in your work place.	1.2 1.5 1.6
8	<input type="checkbox"/>	<input type="checkbox"/>	How do you know if communication has been successfully understood?	1.2 2.1
9	<input type="checkbox"/>	<input type="checkbox"/>	How can you better understand and confirm what is required in a work situation?	1.6 5.4
10	<input type="checkbox"/>	<input type="checkbox"/>	When is it best to use visual communication?	3.3
11	<input type="checkbox"/>	<input type="checkbox"/>	What visual communication is accepted on your worksite?	3.1
12	<input type="checkbox"/>	<input type="checkbox"/>	What are some of the most important behaviours people need to practice to make meetings successful?	4.1-4
13	<input type="checkbox"/>	<input type="checkbox"/>	What problems can occur if information is not gathered or organised correctly?	2.4
14	<input type="checkbox"/>	<input type="checkbox"/>	What is the difference between open and closed questions? Give an example of both	1.6
15	<input type="checkbox"/>	<input type="checkbox"/>	What do you know about "social" and "cultural" differences and why do we need to be aware of them?	5.1
16	<input type="checkbox"/>	<input type="checkbox"/>	Explain why "simple" language is the most appropriate language to use in the workplace	1.5

17	<input type="checkbox"/>	<input type="checkbox"/>	List three types of communication used on site to convey workplace instructions	1.3
18	<input type="checkbox"/>	<input type="checkbox"/>	List at least three safety signs used on your site, and provide a brief description of their meaning	1.4
19	<input type="checkbox"/>	<input type="checkbox"/>	Why is it important to present written information clearly and legibly?	2.5
20	<input type="checkbox"/>	<input type="checkbox"/>	Why is it important that we treat co-workers and team members with respect?	5.1

Write any additional comments below:

ASSESSMENT TOOL: CONFIRMATION OF CONSISTENT COMPETENCE

Evidence confirming consistent competence may be gathered from a variety of suitable sources. This can include work records and examples of the candidate’s work during or prior to the training period, and/or a report provided by a third party who has knowledge about the candidate’s work over a reasonable period of time. This person could be a workplace skill expert, supervisor or team leader.

Indicate below the type of supplementary evidence used in this assessment, and where applicable attach copies of documents or photos/descriptions of finished products to this assessment plan.

✓	Type of evidence	✓	Type of evidence
	<ul style="list-style-type: none"> log book or record book 		<ul style="list-style-type: none"> site training records
	<ul style="list-style-type: none"> site production records or similar work records 		<ul style="list-style-type: none"> completed assignment work
	<ul style="list-style-type: none"> product samples or a portfolio of work 		<ul style="list-style-type: none"> attendance at training courses, workshops
	<ul style="list-style-type: none"> third party report (see below) 		<ul style="list-style-type: none"> Other (please specify)

ASSESSMENT TOOL: MODEL ANSWER GUIDE

The guide below contains acceptable minimum answers for each of the questions asked in the Question Guide. The answers below are intended as examples of minimum acceptable answers from the candidates. It is expected that assessors will conduct their own assessment of the worksite in order to verify that the answers given match the workplace practice:

1	<p>Answer should include at least 2 of the following for OHS:</p> <ul style="list-style-type: none"> • Hazard identification and controls, • Safe Work Method Statements, • Safe Operating Procedures or similar, • required PPE, • reference to policies and procedures, • reference to first aid and medical treatment facilities, • tag out, lock out or isolation procedures, guarding and notification procedures for machine operation. <p>If in doubt, candidate should ask the supervisor, team leader or OHS representative</p>
2	<p>Answer appropriate to the work site. Usually a supervisor or team leader. Occasionally another team member.</p>
3	<p>Answer appropriate to the work site. If in doubt, candidate should ask the supervisor or team leader.</p>
4.	<p>Answer should refer to at least two of the following:</p> <p>1) Equal opportunity employment, 2) Antidiscrimination/harassment/bullying policies and procedures, 3) Disability employment opportunities, 4) Counselling/complaints policies and procedures.5) Treating people equally</p> <p>A discrimination issues should be raised with the team leader or supervisor first.</p>
5.	<p>Answer may include the following:</p> <p>FGM, HH – 1) measurement of distance, 2) measurement of angles/slopes, 3) measurement of height 4) measurement of direction, 5) measurement of area, 6) measurement of volume</p> <p>TMP, SMP, WPP, TM, WM - 1) measurement of length, 2) measurement of angles, 3) measurement of height, 4) measurement of area, 5) measurement of volume, 6) measurement of weight</p> <p>Note: Assessor may request example of maths relevant to this unit.</p>
6	<p>Answer may include any of the following applicable to the workplace: verbally, in log book, on work order, on computer, on checklists</p>
7	<p>By stating your understanding of the speaker’s feelings or meaning. Example will be depend on work situation.</p>
8	<p>By asking recipient to repeat the communication or by questioning the recipient about the content of the communication.</p>
9	<p>By questioning, or by expressing in different words.</p>
10	<p>When verbal communication is difficult or impractical (eg. due to noise, distance). Visual communication will often be by accepted industry conventions (eg. hand signals).</p>
11	<p>Answer will depend on the work situation, and may include hand signals, whistles, flashing lights.</p>
12	<p>Answer should include:</p> <ul style="list-style-type: none"> • Show respect for others opinions – be fair and equitable • Be courteous and listen actively • Follow meeting procedures

	<ul style="list-style-type: none"> • Contribute to the meeting – be clear and concise • Record expected outcomes • Understand the agenda • Ask/answer questions to clarify information 	
13	Answer should include: misinterpretation, incorrect sequencing.; issues with production/efficiency; OHS/safety concerns; quality control and maintenance concerns e.g. machine may break down	
14	An open question is one which encourages a full response, not just a ‘yes’ or ‘no’ or a short statement of fact. A closed question is one that can be answered with a “yes” or “no”, or short statement of fact.	
15	<ul style="list-style-type: none"> • Candidate should be able to acknowledge that people come from all sorts of backgrounds, culturally and socially – from different countries, religions, races • Awareness and respect for others’ differences is essential so as to act respectfully and not to offend, to create a harmonious working environment and also to make sure that communication is altered as appropriate to allow for any language barriers 	
16	So as to be easily understood.	
17	Answer will depend on work situation, but may include: graphical instructions, signage, plans, work bulletins, charts and hand drawings, documents, memos, maps, material safety data sheets (MSDS), diagrams, sketches and graphics	
18	Answer will depend on work situation.	
19	So as to be easily understood.	
20	We should treat others as we would like ourselves to be treated, with respect. This will foster a happier and safer work place.	

These answers were last reviewed and moderated as effective by (list initials)

From (list company) Timber Training Creswick Ltd

On (insert date) ? ? 2010

THIRD PARTY REPORT

The purpose of this report is to confirm that the assessment candidate can consistently apply the skills and knowledge of this unit to the required standard.

The assessed Elements are:

- Element 1: Gather, convey and receive information
- Element 2: Carry out face-to-face routine communication
- Element 3: Apply visual communications
- Element 4: Participate in simple meeting processes
- Element 5: Maintain work relationships

In order to complete this report, the third party will need to have direct knowledge of:

- the job function and the candidate’s application of skills and knowledge to that function
- any relevant legislation, regulations or industry standards
- the candidate’s ability to repeatedly perform to the required standard.

Note: This report is used as one form of supporting evidence to be considered in the total assessment process and does not represent a final judgement on the competence of the candidate.

In the view of the third party making this report, the candidate consistently..... (tick appropriate)

YES	NO	
<input type="checkbox"/>	<input type="checkbox"/>	Follows OHS regulations, codes and site policies/procedures
<input type="checkbox"/>	<input type="checkbox"/>	Receives and relays verbal, non-verbal and written information in a clear, concise and accurate manner
<input type="checkbox"/>	<input type="checkbox"/>	Uses a range of visual communication signals
<input type="checkbox"/>	<input type="checkbox"/>	Participates in workplace meetings using agreed processes to resolve issues

Additional comments:

Name	Ph No.
Signature	Date
Organisation	Position