

Third Party Checklist

Candidate's Name	Blaine Colley	
Assessor or Observer's Name	Mario Willebr	
Unit of Competence (Code and Title)	BSBSMB 401 establish legal risk management requirements of small business	
Date of Assessment	11/6/19	
Location	27 Headfort St Greenlough	
Demonstration Tasks		
Materials and Equipment		
Tasks to be simulated if not witnessed over time:	Yes	No
1. Did the learner identify and research possible options for the business legal structure using appropriate sources?	☒	
2. Did the learner determine legislation and regulatory requirements affecting operations of the business under its chosen structure?	☒	
3. Did the learner develop and implement procedures to ensure full compliance with relevant legislation and regulatory requirements?	☒	
4. Did the learner establish systems to ensure the legal rights and responsibilities of the business are identified and the business is adequately protected, specifically in relation to work health and safety (WHS), business registration and environmental requirements?	☒	
5. Did the learner identify taxation principles and requirements relevant to the business, and follow procedures to ensure compliance?	☒	
6. Did the learner identify and carefully maintain legal documents and maintain and update relevant records to ensure their ongoing security and accessibility?	☒	
7. Did the learner monitor provision of products and services of the business to protect legal rights and to comply with legal responsibilities?	☒	
8. Did the learner conduct investigations to identify areas of non-compliance with legal and regulatory requirements, and take corrective action where necessary?	☒	
9. Did the learner seek legal advice on contractual rights and obligations, if required, to clarify business liabilities?	☒	
10. Did the learner investigate and assess potential products or services to determine procurement rights and ensure protection of business interests where applicable?	☒	
11. Did the learner negotiate and secure contractual procurement rights for goods and services including contracts with relevant people, as required, in accordance with the business plan?	☒	

Third Party Reports

The Third Party Report should be completed by a senior member of staff i.e. a supervisor or manager, where possible. The report should cover the points below, with a description to show that the tasks have been witnessed over time, while working with the learner. Examples, times, dates etc. should be included, if possible.

As this unit is about establishing legal and risk management requirements of small business, you will need to have witnessed the learner within a working or training environment:

1. Identifying and implementing business legal requirements
2. Complying with legislation, codes and regulatory requirements
3. Negotiating and arranging contracts
4. Identify and treat business risks.

Ticking yes/no next to the tasks is required, as well as an accompanying report.

Third Party Evidence

Name of Candidate	Blaine Collins	Confidential Information
RTO:	CSTC	
Unit(s) of Competence	BSBSMB401	

As part of the assessment for the units of competency, we are seeking evidence to support a judgment about the candidate's competence. As part of the evidence of competence we are seeking reports from the supervisor and other people who work closely with the candidate.

Name of the supervisor:	Mario Villetre
Workplace:	RCC
Address:	240 Waterloo Rd Ashgrove
Phone:	04

Do you understand which evidence/tasks the candidate has provided/performed that you are required to comment on?

Yes

No

As the assessor explains the purpose of the candidates assessment?

Yes

No

Are you aware that the candidate will see a copy of this form?

Yes

No

Are you willing to be contacted should further verification of this statement be required?

Yes

No

What is your relationship to the candidate?	colleague
How long have you worked with the person being assessed?	5 years
How closely do you work with the candidate in the area being assessed?	closely
What is your technical experience and/or qualification (s) in the area being assessed? (Include any assessment or training qualifications.)	30+ yrs experience

Does the candidate:

Perform tasks to the industry standards?	<u>Yes</u>	No
Managed job tasks effectively?	<u>Yes</u>	No
Implement safe working practices?	<u>Yes</u>	No
Solve problems on the job?	<u>Yes</u>	No
Work well with others?	<u>Yes</u>	No
Add that to new tasks?	<u>Yes</u>	No
With unusual or non-routine situations?	<u>Yes</u>	No

Overall do you believe the candidate conforms to the standard required by the unit of competency on a consistent basis?

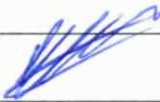
y

Identify any training needs for the candidate:

N/A

Any other comments:

12. Did the learner identify options for leasing or ownership of business premises and complete contractual arrangements in accordance with the business plan?		y	
13. Did the learner identify potential internal and external risks to the business?		y	
14. Did the learner assess the probability and impact of identified risks?		y	
15. Did the learner prioritise risks for treatment?		y	
16. Did the learner develop actions to mitigate risks including identifying insurance requirements and adequate cover?		y	
The candidate's performance was:	Not Satisfactory	Satisfactory	
Further comments:			

Candidate's Signature	
Assessor/Observer's Signature	