



KA Evidence Guide

BSB40520 Certificate IV in Leadership and Management

Aligned with the 2025 Standards for RTOs – Effective 1 July 2025

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What is recognition of prior learning (RPL)?

RPL is a process that assesses your competency—acquired through formal and informal learning—to determine if you meet the requirements for a unit of study. This evidence guide describes the types of documents that must be provided and lists knowledge evidence questions that must be answered. If you have alternative examples to those listed below that meet the requirements, then you can discuss this with your assessor.

Qualification Description

This qualification reflects the role of individuals working as developing and emerging leaders and managers in a range of enterprise and industry contexts.

As well as assuming responsibility for their own performance, individuals at this level are likely to provide leadership, guidance and support to others. They may also have some responsibility for organising and monitoring the output of teams.

They apply solutions to a defined range of predictable and unpredictable problems and analyse and evaluate information from various sources.

Core Units

BSBLDR411 Demonstrate leadership in the workplace

BSBLDR413 Lead effective workplace relationships

BSBOPS402 Coordinate business operational plans

BSBXCM401 Apply communication strategies in the workplace

BSBXTW401 Lead and facilitate a team

Elective Units

BSBCMM412 Lead difficult conversations

BSBLDR414 Lead team effectiveness

BSBLDR412 Communicate effectively as a workplace leader

BSBPEF402 Develop personal work priorities

BSBCRT411 Apply critical thinking to work practices

BSBOPS404 Implement customer service strategies

BSBPEF403 Lead personal development

This is a nationally recognised qualification. For more information, please visit:

<https://training.gov.au/Training/Details/BSB40520>

Instructions

1. Complete the LLND Self-Assessment Checklist within this document (it is at the end), save it, and upload it into the Dropbox folder
2. Number your items 1a, 1b, 1c, etc. and upload them into the Dropbox in the relevant module
3. Create a separate word document for the questions within each module, and save it, and upload it into the relevant module once complete.

1. Goal Setting

In this module, you will demonstrate the skills and knowledge required to plan and prioritise your **own work** tasks.

1a – Provide an example of your **MVP list** and your **L.O.V.E. letter**.

1b – Provide one example of an email exchange between you and your manager approving 1a.

1c – Provide one example of an email exchange between you and your manager about your performance relating to 1a.

Q1. List three tools or techniques you can use to schedule tasks and plan work.

Q2. Review your work schedule and identify any areas for improvement.

2. Lead Personal Development

In this module, you will identify and evaluate your own personal development needs, rather than the work tasks you completed in the first module. This module is about the self rather than the business.

2a - Provide an example of **identifying** and **evaluating** your **personal development needs**. Evidence of this might be in a 360 review. If so, then please provide an example of that document. If not, a free online tool like <https://enneagramuniverse.com/> can help you identify and evaluate your personal development needs.

2b – Based on 2a, provide an example of a **self-regulation management plan**. This plan should include identifying two or three key areas to **sustain health, growth** and **well-being** to help you cope safely and efficiently in a working environment.

2c - Provide one example of **reviewing** and **updating** the plan in 2b. This might be done one week or one month after implementing the above plan. This upload is like a self-reflection piece; for example, one week or one month after you have started to implement ways in which you can improve on the areas within your plan, how have you performed? Are there things you have done well? Are there areas you still need to improve? You can include this information in either a new Word document or you can add your review to the bottom of your initial plan.

Q1. Provide three examples of positive workplace behaviour.

Q2. Provide three examples of negative workplace behaviour.

Q3. List three interpersonal skills you might use to work effectively with others in the workplace.

Q4. List the four pillars of EI, and briefly explain one strategy you might use to develop one of those pillars in yourself or someone else.

3. Co-ordinate Operational Plans

3a - An example of an operational plan. The plan must include **goals and objectives, KPIs, resource requirements** (physical and human), **monitoring processes** and **contingencies** (for example, a backup plan due to staff or resource issues). If you don't have one already, please use the template provided.

3b - An example of an email, video recording or meeting minutes showing you **communicating the plan to others**. This may be communicated to the team or to management.

3c - An example of either an email, video recording or meeting minutes showing you **monitoring and reviewing the plan**. The content of this would be your comments about any aspect of the plan's performance.

Q1. List three common methods for problem-solving.

Q2. Briefly explain budgeting processes or considerations as they relate to your operational plan.

Q3. List three mentoring and coaching techniques you might use to support team members.

4. Workplace Communication Strategies

4a – Provide an example of **feedback from someone else** about how you can **improve** your **communication techniques**. This could be an email or a detailed 360 review, which includes comments specifically related to your communication techniques.

Q1. List three pieces of legislation that relate to workplace communication.

Q2. List three challenges you might face when communicating in the workplace.

Q3. List three ways in which you would communicate with a diverse audience.

5. Lead Difficult Conversations

As this topic has quite specific requirements, whilst you may be able to provide workplace-based examples, we recommend doing this as a role-play. This can be conducted in an online video call like TEAMS or ZOOM. Alternatively, you can use a mobile phone and video record the meeting. Each recording only needs to be 2-3 minutes.

Evidence of **two instances** where you have had **difficult conversations** with others.

5a - For each difficult conversation role-play, provide a document outlining the **topic**, the **reason** for the conversation, and an outline of the **conversational content**. A template is available for this.

5b - For each difficult conversation role-play, provide evidence of **seeking feedback** on that document. For example, email the templated document to your manager and ask them to complete the feedback section and email it back.

5c - For each difficult conversation role-play, provide an **audio/video recording** (2-3mins) of the conversation.

5d - For each difficult conversation role-play, provide evidence of **seeking feedback** on your performance in the recording. For example, email your manager the recording and ask them to provide feedback on your performance. They can provide this feedback within the template.

Q1. List three places where you would find information about legislation and organisational policies regarding communications within the workplace.

Q2. Outline three acts, standards or codes of practice that relate to workplace communication.

Q3. List three communication styles that may be used within a difficult conversation.

Q4. List two common support services relevant to your organisation.

Q5. Reflecting on the difficult conversations you have provided, identify areas where you can improve.

6. Hiring

6a – Evidence of you assisting in the **onboarding of a new employee**, which may include:

- An email to a new employee welcoming them and offering assistance if needed.
- Meeting notes, action items or minutes where you welcome a new employee and set expectations.

7. Demonstrate Leadership

In this module, you will demonstrate your ability to **set work tasks** for individuals and report on the performance of individuals.

7a – Provide one example of **setting tasks** for someone else. For example, a team member or a direct report. This plan must include **KPIs** (a specific task with a timeframe) aligning with the operational

plan. The plan must include comments from you. N.b. if you complete 360 reviews on others, then you could supply one of these. This must include comments.

7b – Provide one example of **communicating the plan** above to the individual. For example, this could be in an email, meeting agenda and minutes, or toolbox talk.

7c – Provide one example of **feedback you have received** from someone else about the plan above. For example, email either plan to someone else and ask them for feedback. (not the person that the plan is for).

Q1. Outline two of your organisation's values.

Q2. Provide three examples of behaviours you would expect employees to exhibit in the workplace.

Q3. List three basic leadership theories.

Q4. List three common leadership styles.

Q5. What is your organisation's process for raising questions about standards and values?

Q6. List two examples of behaviours and performance that would typically be considered damaging to an organisation.

8. Leading Teams

8a – Provide an example of an email chain showing you **supporting the team or a team member experiencing difficulties** fulfilling a work task—for example, customer complaints, poor performance, lack of resources, short staffing etc. You could provide this as a video recording role-play if needed.

8b – Provide an example of an email chain showing you **managing conflict constructively**. Conflict is a serious disagreement or argument between at least two parties. This may be between you and someone else, or between others, and you have had to step in to control the situation. Topics can be anything relating to work. For example, speaking inappropriately, workplace bullying, workplace behaviour, or a disagreement about a workplace practice, etc. You could provide this as a video recording role-play if needed.

Q1. List three places where you would find information about legislation and organisational policies regarding communications within the workplace.

Q2. List three mentoring and coaching techniques you might use to support team members.

Q3. List three strategies for conflict resolution and negotiation.

Q4. Outline three ways you would communicate with a diverse audience.

Q5. List three types of legislation relevant to effective workplace relationships

9. Communicate like a Workplace Leader

9a - An example of an email showing you **reporting** on any aspect of **team performance**. Eg could achieving goals or KPIs, customer feedback, workplace behaviour, staff issues, problem-solving etc.

9b - An example of an email showing you **seeking** and **receiving feedback** on your **performance as a workplace leader**. This can cover any aspect of your leadership skills and knowledge..

Q1. List three places where you would find information about legislation and organisational policies regarding communications within the workplace.

Q2. Outline three characteristics of effective leadership communication as relevant to your role.

Q3. Outline two common barriers to effective communication within the workplace.

Q4. Thinking about the communications you have provided above, outline the feedback you received and identify any areas of improvement you will incorporate into future communications.

Q5. Outline three ways you would communicate with a culturally and socially diverse team

Q6. Briefly explain how you might use networking to help build trust and develop positive workplace relationships

10. Apply Critical Thinking

In this module you will demonstrate that you can help team members to develop their **critical thinking skills**. As this topic has quite specific requirements, whilst you may be able to provide workplace-based examples, we recommend doing this as a role-play. This can be conducted in an online video call like TEAMS or ZOOM. Alternatively, you can use a mobile phone and video record the meeting. The recording can be 3 – 5 minutes.

10a - Provide one example of your recording using the format below:

- Ask team what they already know about using critical thinking to solve a workplace problem
- Explain one example of a **critical thinking concept** to the team and **check for understanding**. Examples of critical thinking concepts may include 1/3+1 Brainstorming, **O.B.S.E.R.V.E.** Method (Observe, Broaden, Separate, Evaluate, Respond, Execute).
- Ask the team to use the critical thinking concept you introduced to a **relevant workplace problem**. (Eg 1/3+1 Brainstorming technique or O.B.S.E.R.V.E. Checklist).

Q1. Outline two models that can be used for critical and creative thinking. (Eg O.B.S.E.R.V.E. Method, Six Thinking Hats)

Q2. List three key features of critical thinking. (Eg Analytical Thinking – High Alertness, Structure and Order and Creativity on Winslow, Logical Reasoning, Evaluation and Judgement).

Q3. List two techniques you can use to teach others how to think critically and creatively. (Eg Socratic Questioning, 1/3+1 Brainstorming, Six Thinking Hats, Case Studies, Role Plays)

Q4. Reflecting on your latest Winslow Assessment results, what has this Critical Thinking topic taught you about areas for self development?

11. Customer Service Strategies

In this module, demonstrate how you can use customer feedback to improve your customer service.

11a - Provide **two** examples of **negative** customer feedback (evidence may include emails from customers, feedback forms from customers, and/or notes/minutes from customer meetings).

11b – Provide two examples of reviewing the feedback and **identifying the issues** (evidence may include separate emails, minutes of meetings, or documents etc.).

11c – Provide two examples of **two strategies** or **methods** to address the identified issues (evidence may include separate emails, minutes of meetings, or documents etc.). Strategies may include NPS Customer Audits, One Third Plus One RULE brainstorms with customers and/or Customer MVP Lists.

11d – Provide two examples of communicating these strategies to relevant people (evidence may include staff - evidence may include emails, meeting minutes, training session presentations, etc).

Q1. List three techniques you can use when communicating with a customer.

Q2. List three principles of customer service.

Q3. Briefly outline the purpose of the Competition and Consumer Act 2010 (Cth).

Q4. Reflecting on your latest Winslow Assessment results, what has this Customer Service topic taught you about the traits correlated with Customer Service success?

12. Continuous Improvement

In this module, you will demonstrate how to identify and improve a system or process within your business or work area.

12a – Provide one document identifying a **system** or **process** within your organisation or work area that **could be improved**.

12b - Provide one **audio/video recording** of you facilitating a discussion about **possible solutions** for the improvement identified above. This could be a recording of a role-play conducted in person and recorded using a phone, or it could be conducted online and recorded using TEAMS/ZOOM etc.

12c – Provide one document which summarises the **key findings** from the team meeting discussion.

12d – Provide evidence of **feedback from stakeholders** (management, co-workers etc.) after implementing the suggested improvement. This could be in email form.

Q1. List three systems and processes you might use to support continuous improvement in your workplace.

Q2. List three aspects of sustainability you may consider when improving systems or processes. (e.g., reusing and recycling paper and plastics)

Q3. Thinking about the results of the continuous improvement activity, did it achieve your goal, and if not, how would you approach it differently in the future?

Q4. Reflecting on your latest Winslow assessment results what insights do you have relative to continuous improvement in your personal development?

Briefly summarise your key findings.

LLND Self-Assessment Checklist

For RPL Candidates – KnowledgeAccess

Why we ask these questions

As part of our obligations under the revised Standards for RTOs 2025, we are required to confirm that each candidate has the language, literacy, numeracy and digital (LLND) skills needed to successfully participate in the RPL process.

In particular:

- Standard 2.2 requires us to review your skills and competencies (including LLND) before you commence.
- Standard 1.4 requires us to ensure assessment is fair, flexible, valid, and reliable—including offering reasonable adjustments if needed.

You've already built these skills on the job. This checklist just helps us confirm that your current communication, numeracy and digital skills are suited to the evidence-gathering and interview process involved in RPL. If anything seems unclear or feels like a barrier, let us know—we'll work with you to make the process smooth and respectful of your experience.

Please complete the questions below to the best of your knowledge.

Language and Literacy

Question	Yes / No / Unsure
I read and respond to emails, reports, or workplace policies as part of my role.	
I write workplace documents such as meeting notes, shift reports, instructions, or plans.	
I understand written procedures, policies, or safety information used in my workplace.	
I communicate clearly with team members, customers, and managers—verbally and in writing.	

Numeracy

Question	Yes / No / Unsure
I interpret budgets, rosters, KPIs, or similar data in my role.	
I calculate timeframes, percentages, costs, or quantities when making decisions at work.	

I complete workplace forms that involve dates, amounts, or other numerical details.	
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Digital Literacy

Question	Yes / No / Unsure
I regularly use a computer, tablet, or smartphone for work-related tasks.	
I use email, messaging platforms, or video calls to communicate with others at work.	
I access and use workplace systems or tools (e.g. intranet, payroll, scheduling software).	
I can upload, download, or share documents electronically when needed.	

Final Reflection

Is there anything about your reading, writing, maths, or computer use that you'd like to discuss or that sometimes holds you back at work?

I'd like to discuss this with my assessor.

[Optional space for written comments]

What Happens Next?

Your responses help us:

- Confirm that you're ready to proceed with RPL
- Identify any areas where we can provide support (e.g. adjusting how we gather evidence) • Meet our compliance obligations while keeping the process practical and respectful of your experience