### **Assessment Instructions: BSBESB305 Address Compliance Requirements for New Business Ventures**

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| STA Logo 2011(Hi Res) | | Unit Result Record Sheet – BSBESB305 Address Compliance Requirements for New Business Ventures | | | | | |
| *Student Name:*  *BLOCK Print* | |  | | | | | |
| *Student Number:*  *BLOCK Print* | |  | | | | | |
| Assessment Completed  *(Specific name of assessment task must be used)*  *(Evidence must be in students file)* | *Result* | | *Date Assessed* | Re-assessment Completed  (If required)  *(Specific name of assessment task should be used)*  *(Evidence must be in students file)* | *Result* | | *Date*  *Re-assessed* |
| Satisfactory | Not Yet Satisfactory | Satisfactory | Not Yet Satisfactory |
| Assessment 1: Compliance Procedure Implementation |  |  |  |  |  |  |  |
| *Result for unit* | Competent/Not Yet Competent | | | | | | |
| *Assessor Name:*  *BLOCK Print* |  | | | | | | |
| *Assessor Signature:* |  | | | | | | |
| *Date result reached:* |  | | | | | | |
| *Comments:* |  | | | | | | |
| Declaration:  *I declare that:*   * All work for assessment tasks submitted for this unit is my own with no part of any assessment being copied/plagiarised from another person’s work, except where authorised and listed / referenced * I was aware of all assessment requirements for this/these unit/s * I have received feedback from my Trainer / Assessor on the result of each individual assessment task and my overall result for this/these unit/s of competency * I have been made aware of the reassessment policy for any assessment task/s and/or unit/s that I have not yet satisfactorily completed | | | | | | | |
| *Student Signature:* |  | | | | | | |

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| STA Logo 2011(Hi Res) | **WRITTEN ASSESSMENT – BSBESB305** | |
| Address Compliance Requirements of New Business Ventures | |
| SECTION | NUMBER OF QUESTIONS | MARK ALLOCATION/RESULT |
| Assessor’s Name  *BLOCK Print* |  | |
| Assessor’s Signature |  | |
| Date Assessed |  | |
| Result | Satisfactory/Not Yet Satisfactory | |
| Date Re-assessed |  | |
| Re-assessment Result | Satisfactory/Not Yet Satisfactory | |
| Feedback |  | |

INSTRUCTIONS TO STUDENT

1. **Do not start the assessment until told to do so.**
2. **Total time allowed 60 minutes.**
3. **Use black or blue ink pens only.**
4. **This assessment is to be completed under test conditions without talking with other students yet you may refer to your manual as required.**
5. **You must answer all questions correctly for satisfactory completion of this assessment task.**
6. **Please read all the information given to you before you start the assessment task. If you do not understand some or all of the questions, please ask your Trainer / Assessor for clarification.**

* **This assessment is intended to be equitable, fair and flexible. If you feel that any aspect of this assessment should be changed please inform your Trainer / Assessor.**
* **If you are unable to demonstrate the required level of knowledge and skills through this assessment task on the first attempt your Trainer / Assessor, where appropriate, may choose to verbally assess you to gather further evidence of your knowledge of specific question/s and/or criterion. In this situation your Trainer / Assessor would make note of this on your assessment task including notes on what answers you provided. Where this is not deemed appropriate you will have the opportunity to either: undertake a supplementary assessment at a later date; add information to this original assessment for specific questions with this re-assessment attempt recorded under ‘Re-assessment Result’ above. (where deemed appropriate by your Trainer / Assessor), re-attempt this entire assessment task or appeal the result. For full details of this you should speak to your Trainer / Assessor and refer to your student information handbook.**

Please clearly record your name and sign below stating you understand the assessment instructions and requirements and consent to being assessed according to the assessment requirements.

|  |  |
| --- | --- |
| Student Name  *BLOCK Print* |  |
| Student Number |  |
| Student Signature |  |
| Date |  |

## Assessment 1: Compliance Procedure Implementation

**Scenario**:

You are tasked with setting up a new business venture in Victoria, Australia. This business can be in a sector of the student's choice (e.g., retail, hospitality, IT services, security etc). The student must implement procedures to address two different compliance requirements relevant to their chosen business.

**Tasks**:

1. **Taxation and Insurance Compliance:**
   * How would you ensure compliance with taxation laws for your new retail business in Victoria?
   * Describe the process of arranging and managing business insurance cover for your business venture.
2. **Registration and Licensing:**
   * What are the specific registration and licensing requirements for starting the chosen business in Victoria, and how would you comply with these?
3. **Work Health and Safety (WHS) Requirements:**
   * Explain how you would implement and maintain WHS requirements in your business to ensure a safe working environment.
4. **Industry Codes of Practice and Standards:**
   * How will you ensure that your business adheres to the relevant industry codes of practice and standards?
5. **Accessing Specialist Advice and Services:**
   * Describe your strategy for selecting and accessing specialist advice and services to support compliance in your business.
6. **Industrial Relations Principles:**
   * Explain how you would adhere to industrial relations principles, including employee rights and fair work practices, in your business.
7. **Maintaining Legal Documents:**
   * Outline the procedures for updating and maintaining essential legal documents for your business, such as registration and insurance policies.
8. **Investigating Areas of Non-Compliance:**
   * Describe the steps you would take to identify and investigate potential areas of non-compliance in your business.
9. **Monitoring Products and Services:**
   * How will you monitor the provision of products and/or services in your business to ensure compliance with industry standards and consumer laws?
10. **Corrective Actions:**
    * Discuss the process of taking corrective action in your business when non-compliance issues are identified.

**Submission Requirements**:

* A comprehensive report detailing the compliance procedures for the new business venture (at least two).
* Evidence of research and consultation with specialist advisors.
* A plan for ongoing monitoring and management of compliance.

### **Assessment Criteria for BSBESB305 Address Compliance Requirements for New Business Ventures**

1. **Understanding of Compliance Requirements:**
   * Demonstrates a thorough understanding of taxation laws applicable to a retail business in Victoria.
   * Accurately describes the process of arranging and managing business insurance.
   * Clearly outlines registration and licensing requirements specific to the chosen business in Victoria.
2. **Application of Work Health and Safety (WHS) Standards:**
   * Provides a detailed plan for implementing and maintaining WHS requirements.
   * Shows an understanding of how to create a safe working environment in the business setting.
3. **Adherence to Industry Standards:**
   * Explains how the business will adhere to relevant industry codes of practice and standards.
   * Demonstrates knowledge of the importance of these standards in business operations.
4. **Utilisation of Specialist Advice and Services:**
   * Describes a strategic approach for selecting and accessing specialist advice and services.
   * Illustrates understanding of the role of these services in supporting business compliance.
5. **Industrial Relations and Employee Rights:**
   * Explains the application of industrial relations principles in the business.
   * Shows an understanding of employee rights and fair work practices.
6. **Maintenance of Legal Documents:**
   * Outlines effective procedures for updating and maintaining essential legal documents.
   * Demonstrates an understanding of the importance of these documents in business compliance.
7. **Identification and Investigation of Non-Compliance:**
   * Describes a systematic approach to identifying and investigating potential areas of non-compliance.
   * Shows an understanding of the implications of non-compliance.
8. **Monitoring of Products and Services:**
   * Explains methods for monitoring the provision of products and services.
   * Demonstrates how this monitoring ensures compliance with industry standards and consumer laws.
9. **Corrective Action Plans:**
   * Discusses a clear process for taking corrective action when non-compliance issues are identified.
   * Shows an understanding of the importance of corrective actions in maintaining compliance.
10. **Quality of Report and Research:**
    * The report is comprehensive, well-structured, and clearly articulates the compliance procedures for the new business venture.
    * Evidence of thorough research and consultation with specialist advisors is provided.
    * The plan for ongoing monitoring and management of compliance is detailed and feasible.

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