



JOAN LAWMAN
C O L L E G E

Student Assessment Tasks

SITXGLC001 RESEARCH AND COMPLY WITH REGULATORY REQUIREMENTS

Student Name: _____

Student Number: _____

Contents

Assessment Overview	3
Assessment Task 1: Written questions	6
Assessment Task 2: Case study	10
Part A – Apply for a liquor licence.....	11
Part B – Develop and communicate a policy.....	11
Assessment Task 3: Project	12
Part A – Research and interpret regulatory information.....	13
Part B – Develop policies and procedures for legal compliance	14

Assessment overview

This Student Assessment Booklet includes all your tasks for assessment of SITXGLC001 Research and comply with regulatory requirements.

Assessment Task	About this task
Assessment Task 1: Written questions	You must answer all questions correctly.
Assessment Task 2: Cash questions	There are two parts to this task: <ul style="list-style-type: none"> Part A – You are required to complete and submit documentation to a regulatory authority to seek approval to implement business operations. Part B – You are required to develop, communicate and distribute a policy.
Assessment Task 3: Project	You are required to conduct research and develop policies and procedures for legal compliance.

Assessment requirements

You will be provided an assessment schedule by your trainer. This will indicate the dates assessments will be undertaken e.g. for practical activities and/ or the dates for assessment submissions e.g. for written work.

Prior to assessment your assessor will provide you information on how to prepare. Ensure you are fully prepared for each assessment task. The resources required for each task are indicated in each task.

If you have identified special learning needs the assessment process and/ or materials may be adjusted to address these requirements. If you feel there is an issue that will impact your performance during an assessment task, it is important to bring this to the attention of your assessor prior to attempting the task.

Read all assessment task information in full. Contact your assessor to clarify assessment requirements if you are unsure about any aspect of the assessment process or task requirements.

Each assessment task includes a set of instructions that guide you on requirements. Information is also provided on the assessment context (e.g. where it will be undertaken) and conditions (e.g. closed book).

For performance to be deemed satisfactory in an assessment task, you must satisfactorily address all the assessment criteria. You must satisfactorily complete each assessment task to be deemed competent in this unit.

Submitting assessments

You will be informed the process for submitting any written work and what has to be submitted. This information will be supplied with each task. You must submit all work by the due date. Failure to do so may count as a submission attempt.

Complete the Student declaration section of the Assessment Cover Sheet that is supplied with each assessment task. Submit this to the assessor along with your work. Retain a copy of all work submitted for each assessment task.

Academic conduct

Cheating, plagiarism and unauthorised collusion in any form during assessments will result in the assessment submission being invalidated.

Assessment feedback

You will be provided feedback on performance on completion of the task. The feedback will be provided in the Assessment Cover Sheet and will indicate if you have satisfactorily addressed all the assessment criteria and

indicate the assessment result as S – Satisfactory or U - Unsatisfactory. Assessors will discuss your performance in each task when providing feedback.

Assessment resubmissions

If you fail to demonstrate satisfactory performance in an assessment task you will be provided another 2 opportunities to address the assessment criteria. The assessor will arrange this with you.

Accepting the assessment result

Once the assessor has provided written and verbal feedback, you are required to complete the Accepting assessment result section of the Assessment Cover Sheet.

Assessment appeals

You have the right to appeal the outcome of assessment decisions if you feel you have been dealt with unfairly or have other appropriate grounds for an appeal.

Tips for submitting written work

Assessment questions, report briefs and project instructions include words that guide you on the expected level of response. The information below is a guide on the expected level and type of response required by questions and instructions that include the highlighted words below.

Note that the following guidance is the minimum level of response required.

List	Identify information in a list format. A short response is required e.g. a list of food items required for a menu.
Identify	Similar to list. A short response is required e.g. identify 3 types of cheese.
Outline	A brief response of 1 or 2 sentences is required that includes a brief overview of the main parts/ aspects of the question subject.
Summarise	A brief response of 1 or 2 sentences is required that includes a brief overview of the main parts/ aspects of the question subject.
Describe	This requires a more comprehensive response than outline or summarise. When describing something you provide more detailed information of the question subject. You may be often asked to describe processes or aspects/ features or qualities of the question subject. Expected responses will be between 3 to 4 sentences in length.
Explain	When explaining something you provide detailed information on the question subject. You may be asked to explain reasons justifying why you would complete processes in a certain order or why something happened. Expected responses will be between 3 to 4 sentences in length.
Analyse	When responding to questions asking you to analyse something, you should identify key aspects or features of the subject. Expected responses will be between 3 to 4 sentences in length.

Quick summary of assessment process

1. Review task requirements to identify assessment criteria and task requirements.
2. Clarify anything you don't understand with your assessor.
3. Ensure you are fully prepared to undertake the task.
4. Complete the Assessment Agreement. Provide this to your assessor prior to attempting assessment task 1.
5. Complete the Assessment Task Cover Sheet and submit to you assessor at the commencement of a task that is observed by your assessor or when submitting written work.
6. Undertake the task in accordance with task requirements.

7. Your assessor will provide written feedback in the Assessment Task Cover Sheet and discuss this with you.
8. If required identify and confirm part of the task that must be resubmitted and confirm your understanding of requirements with the assessor.
9. Complete the Student Declaration – Acceptance of assessment result section of the Assessment Task Cover Sheet. Keep a copy of the feedback provided in the Assessment Task Cover Sheet.
- 10.

Assessment Task 1 – Theory task – Written questions

TASK SUMMARY

You are to answer all written questions.

RESOURCES AND EQUIPMENT REQUIRED TO COMPLETE THIS TASK

- Access to textbooks and other learning materials.
- Access to a computer, printer, Internet and email software (if required).
- Access to current legislation.
- Access to plain English regulatory documents distributed by government regulators.
- Access to codes of practice and standards issues by regulatory authorities
- Sources of specialist legal advice, including:
 - Industry associations
 - Local, state/territory or commonwealth departments or regulatory agencies.
- Regulatory information and business management manuals issued by industry associations or commercial publishers.
- Current commercial policies and procedures used to manage regulatory issues.

WHEN AND WHERE DO I NEED TO COMPLETE THIS TASK?

- This task may be done in your own time as homework or you may be given time to do this task in class (where applicable).
- Your assessor will provide you with the due date for this assessment.

WHAT DO I NEED TO SUBMIT?

- Your answers to each question in this task.

INSTRUCTIONS

- This is an open book test – you can use your learning materials as reference.
- You must answer all questions in this task correctly.
- You must answer the questions by typing your answers in Microsoft Word or a similar program – your assessor will advise as to whether you must email them your completed assessment, submit the file on a USB drive or hand in a hard copy.

QUESTION

List ten sources of information that can be used to research compliance requirements for operating a business.

QUESTION

- a) Name three sources from which you might obtain specialist legal advice when researching legal compliance requirements for a business.
- b) Give three factors you should take into account when determining whether or not to obtain specialist legal advice regarding the legal compliance obligations imposed by operating a business.

QUESTION

Describe three ways managers of a business can ensure their staff have ready access to the current regulatory policies and procedures they have developed for the business?

QUESTION

What are five ways you might organise/provide information updates to staff regarding legal compliance issues?

QUESTION

What are three ways to communicate with regulatory authorities when planning business operations?

QUESTION

- a) List three actions organisations can take to ensure they maintain required business licences for their operation.
- a) Describe two types of contractors that should be checked for compliance prior to conducting work to avoid risk to the business.

QUESTION

Identify six opportunities that can be used to maintain current regulatory knowledge.

QUESTION

What are three ways a business might evaluate its operations for non-compliance with legal requirements?

QUESTION

Describe three strategic actions a business might take when it identifies it is non-complaint with a legally-imposed obligation?

QUESTION

Describe three ways to support and ensure continuous review of plans, policies and procedures to ensure compliance with regulatory requirements.

QUESTION

What are five functions and general operating procedures of regulatory authorities with relevance to tourism, hospitality and events industries?

QUESTION

What two requirements apply to notification regarding environmental incidents to authorities?

QUESTION

Explain what is meant by 'public liability' for businesses.

QUESTION

Explain what is meant by 'duty of care' for businesses.

QUESTION

What are four things employers are obliged to do under WHS legislation?

QUESTION

What are five key practices businesses are prohibited from doing by tax legislation?

QUESTION

- a) What does 'Public Liability' insurance protect a business against?
- c) What does 'Professional Indemnity' insurance protect a business against?
- d) What does 'Product Liability' insurance protect a business against?

QUESTION

Under WHS legislation an employer must provide a safe and healthy workplace for workers and contractors: what are ten primary responsibilities in this regard?

QUESTION

List four responsibilities employees have for participating in WHS practices?

QUESTION

What 'anti-discrimination' provisions exist under Commonwealth EEO legislation?

QUESTION

What 'bullying and harassment' provisions exist under Commonwealth EEO legislation?

QUESTION

What six topics are covered under Australian consumer law?

QUESTION

- a) Under Australian Consumer Law when is a contract deemed to be unfair?
- e) What is a 'consumer contract'?
- f) What is a 'standard form contract'?

QUESTION

- a) What are the three categories of employees covered by superannuation guarantee legislation?
- g) What are the seven basic obligations imposed on employers by superannuation guarantee legislation?
- h) What are the 'cut-off dates' and 'payment due dates' for making superannuation contributions?
- i) Under the superannuation guarantee legislation what requirements are imposed regarding the keeping of records?

QUESTION

- a) What are the 10 minimum entitlements of the National Employment Standards (NES)?
- b) Under NES what are 'ordinary hours' and what is designated as the 'maximum weekly hours'?
- j) Under NES what is annual leave, who is entitled to it and how much is available?
- k) How much 'community service leave' is available under NES, who is it available to and under what conditions?

QUESTION

Under the Fair Work Act 2009 what is the role of the Fair Work Commission and the Fair Work Ombudsman?

QUESTION

What are the key elements of the workplace relations framework under the Fair Work Act 2009?

QUESTION

- c) What is 'Workers Compensation' and what does it cover?
- l) What are the names of the workers' compensation regulator in each state/territory?

QUESTION

Where can you access information about land management and protecting neighbouring residents?

What do I need to hand in for this task?	Have I completed this?
Your answers to each question	<input type="checkbox"/>

1.

Assessment Task 2 – Case study

TASK SUMMARY

For this task, you are required to read the case study and complete the following tasks:

- Part A – You are required to complete and submit documentation to a regulatory authority to seek approval to implement business operations.
- Part B – You are required to develop, communicate and distribute a policy.

RESOURCES AND EQUIPMENT REQUIRED TO COMPLETE THIS TASK

- Access to textbooks and other learning materials.
- Access to a computer, printer, Internet and email software (if required).
- Microsoft Office (or similar program).
- Access to current legislation.
- Access to plain English regulatory documents distributed by government regulators.
- Access to codes of practice and standards issues by regulatory authorities.
- Regulatory information and business management manuals issued by industry associations or commercial publishers.
- Current commercial policies and procedures used to manage regulatory issues.
- https://www.vcglr.vic.gov.au/sites/default/files/formsrestaurant_and_cafe_licence_-_application_kit.pdf

WHEN AND WHERE SHOULD THE TASK BE COMPLETED?

- This task may be done in your own time as homework or you may be given time to do this task in class (where applicable).
- Your assessor will provide you with the due date for this assessment.

WHAT NEEDS TO BE SUBMITTED?

- Part A – Completed liquor licence.
- Part B – Drug and Alcohol policy.

INSTRUCTIONS

Read the case study and complete the tasks that follow.

The Best Bite gets a liquor licence

You are the co-owner of a new café, The Best Bite, located at Shop 5, 243-249 Park Street, Robinvale 3999, within the busy Marino Complex.

The Best Bite operates 7 days a week:

- *Monday–Friday: 6am to 4pm*
- *Saturday: 6am to 4pm*
- *Sunday: 6am to 2pm*

The Café has a maximum patronage capacity of 75 people.

You and your co-owner have decided to apply for a liquor licence so that the café can add beer, wine and basic spirits to the drinks menu.

You have both completed the mandatory licencing training and you have both recently completed a Responsible Service of Alcohol training course.

1. Review the case study information and details about the Best Bite Café in the Marino Enterprises Handbook.
2. Apply for a liquor licence for The Best Bite.
 - Go to the following link and download a Restaurant and Café liquor licence application kit:
 - https://www.vcglr.vic.gov.au/sites/default/files/formsrestaurant_and_cafe_licence_-_application_kit.pdf
 - Download, save and complete the application kit.
 - Use the correct names of the business owners and fictional information when completing personal details such as address and licence numbers.
3. The next step of the process is to submit your application to the regulatory authority. As your application is for assessment purposes only, submit the application via email to your assessor.

Case study continued...

The Best Bite received approval for the liquor licence. You have developed a responsible service of alcohol policy; however, you have identified the need for a "Drug and Alcohol Policy" so that there are clear guidelines in place for all employees regarding alcohol consumption and the use of other drugs in the workplace.

You have organised a meeting with the other business owner to discuss and develop the policy.

1. Meet with your co-owner of the Best Bite to discuss the issue (role played by one classmate).
 - Review current legislation and codes of practice relating to drugs and alcohol in the workplace.
 - Review the Marino Enterprises Style Guide.
 - Together, develop a clear policy that all staff must follow, including persons responsible. Ensure that the policy is written in line with the Marino Enterprises Style Guide.
2. Distribute the new policy.
 - Write a covering email to introduce the new policy to all employees.
 - Send the email and attached policy to the employees of the Best Bite Café (your assessor).

What do I need to hand in for this task?	Have I completed this?
Part A – Completed liquor licence	<input type="checkbox"/>
Part B – Drug and alcohol policy	<input type="checkbox"/>

Assessment Task 3 – Project

TASK SUMMARY

For this task, you are required to conduct research and develop policies and procedures for legal compliance.

RESOURCES AND EQUIPMENT REQUIRED TO COMPLETE THIS TASK

- Access to textbooks and other learning materials.
- Access to a Computer, the internet and Microsoft Office (or similar program).
- Access to current legislation.
- Access to plain English regulatory documents distributed by government regulators.
- Access to codes of practice and standards issues by regulatory authorities.
- Sources of specialist legal advice, including:
 - Compliance consultants
 - Industry associations
 - Lawyers
 - Local, state/territory or commonwealth departments or regulatory agencies.
- Regulatory information and business management manuals issued by industry associations or commercial publishers.
- Current commercial policies and procedures used to manage regulatory issues.

WHEN AND WHERE SHOULD THE TASK BE COMPLETED?

- This task may be done in your own time as homework or you may be given time to do this task in class (where applicable).
- Your assessor will provide you with the due date for this assessment.

WHAT NEEDS TO BE SUBMITTED?

Part A:

- Copy of email sent to follow up on conversation with regulatory authority representative.
- Research notes relevant to:
 - Responsible service of alcohol
 - Food safety
 - Responsible gaming
 - Workplace health and safety
 - Sustainability.
- References/sources of information.

Part B:

- Responsible service of alcohol policy.
- 1x responsible service of alcohol procedure.
- Food safety policy.
- 1x food safety procedure.
- Responsible gaming policy.
- 1x responsible gaming procedure.
- Workplace Health and Safety Policy.
- 1x WHS procedure.
- Sustainability policy.
- 1x sustainable practice procedure.

INSTRUCTIONS

Read the background information and complete the tasks that follow.

Background information

You are employed as the Operations Manager of Champions Sports Bar, located in the Marino Enterprises Complex in Melbourne. You have been asked by the board of directors to develop some important policies and procedures to ensure that the bar is compliant with legal requirements. The first five policies that they would like you to develop are:

- *Responsible Service of Alcohol Policy*
- *Food Safety Policy*
- *Responsible Gaming Policy*
- *Workplace Health and Safety Policy*
- *Environmental Sustainability Policy.*

You will be required to research up to date legislation and regulations to ensure that your policies and procedures reflect current compliance requirements.

1. Research regulatory information.

- For each policy, you are required to develop you must conduct research on legislative requirements.
- You must access reliable sources of information to gather information:
 - Read policy documents created by other organisations on the same topic.
 - Research legislation on the Internet.
 - Conduct a meeting with experienced people in the field.
 - Read industry magazines and journals.
 - Seek legal advice.
- You must contact and speak with at least one regulatory authority to gather information. Send a follow up email to the representative that you spoke with to follow up from your conversation. You must provide your assessor with a copy of your email.
- You are required to provide references for all information sourced.
- For each area of compliance, you are required to research and identify the following:
 - The objectives and key components of local, State, Territory and Commonwealth government laws relevant to the specific area of compliance.
 - Auditing and inspection routines.
 - Requirements for record keeping (if applicable).
 - Statutory reporting requirements.
 - Risks, penalties and consequences of non-compliance.

2. You must submit the following to your assessor:

- A copy of the email sent to a regulatory authority representative to follow up on discussion.
- Research notes for each area – responsible service of alcohol, food safety, responsible gaming, workplace health and safety, and environmental sustainability, including:
 - The objectives and key components of local, state, territory and commonwealth government laws relevant to the specific area of compliance
 - Auditing and inspection routines
 - Requirements for record keeping
 - Statutory reporting requirements
 - Risks, penalties and consequences of non-compliance in each area.

- References/sources of information.

You must type your research notes in Microsoft Word or a similar program – your assessor will advise as to whether you must email them your completed assessment, submit the file on a USB drive or hand in a hard copy.

What do I need to hand in for Part A of this task?	Have I completed this?
Copy of email to regulatory authority rep	<input type="checkbox"/>
Research notes	<input type="checkbox"/>

1. Develop policies and procedures.

- Review your research notes from Part A of this assessment task.
- Review the Marino Style Guide in the Marino Handbook.
- Using the information, you have gathered, develop the following policies and procedures for Champions Sports Bar:
 - Responsible Service of Alcohol Policy
 - Food Safety Policy
 - Responsible Gaming Policy
 - Workplace Health and Safety Policy
 - Environmental Sustainability Policy.
- Use a suitable template of your choice to develop your policies. You must develop your policies in line with the Marino Style Guide. You must include the following in each policy:
 - Purpose
 - Scope
 - Objectives
 - Responsibilities
 - Relevant legislation
 - Communication of the policy
 - Effective date
 - Review date.

2. For each policy, you must develop one related procedure.

- Use a suitable format of your choice to develop one related procedure for each policy. You must develop your procedures in line with the Marino style guide. You must include the following in each procedure:
 - Name of procedure
 - Effective date
 - Review date
 - Purpose
 - Scope
 - Activities/responsibilities.

3. Submit your policies and procedures – your assessor will advise as to whether you must email them your completed assessment, submit the file on a USB drive or hand in a hard copy.

What do I need to hand in for Part A of this task?	Have I completed this?
5 x policies	<input type="checkbox"/>
5 x related procedures	<input type="checkbox"/>