BSBESB402
ESTABLISH LEGAL AND RISK MANAGEMENT REQUIREMENTS OF NEW BUSINESS VENTURES

THEORY EXAM

Participant name	

FOR THE PARTICIPANT
Instructions

• You will complete written questions as outlined on the following pages. You must attempt all questions and provide enough detail in your responses to demonstrate your knowledge.
• It is anticipated that you should complete this assessment within two (2) hours, but additional time may be allowed upon negotiation with the Assessor.
• You must complete all questions unassisted by the Assessor or other personnel but may refer to reference material as needed. All questions must be answered correctly for a 'Satisfactory' assessment outcome to be awarded.
  ○ An oral examination may be allowed under certain circumstances, whereby your answers will be documented by another party.
  ○ Any written questions that are incomplete, or not answered satisfactorily will need to be completed again after further training support.
    ▪ If you answer a question incorrectly but modify your response, put your initials next to the written change (or the Assessor must initial a verbal change).

Resources required
Pen

FOR THE ASSESSOR
Instructions
• Where oral examination has occurred, ensure that this is acknowledged in writing (e.g. FT001 and Assessor Comments) • All questions must be satisfactorily demonstrated by the Participant for a Satisfactory determination (indicated by an Assessor tick to the right of the question). • Assessors are to complete marking in pen of a different colour to the Participant. • If the Participant verbally modifies their response, write in the modified response verbatim and put your initials next to the written change.

ASSESSOR COMMENTS
As necessary, outline: • Details on reattempts, alternative arrangements or reasonable adjustments made. • Where a Participant is deemed 'Not Satisfactory', provide recommendations for future training.

Q1. **Describe the CRAAP test for determining the credibility of information.**

Answer

Should reflect but is not limited to: CRAAP is an acronym that stands for Currency, Relevance, Authority, Accuracy and Purpose. The CRAAP test provides a series of questions you can ask to validate data reliability. It offers insights on the credibility of data as well as its usefulness to the context of your process. The questions in the CRAAP test are designed to help you to examine individual pieces of information and assess how this is suitable for your requirements.

Q2. **Provide a description for each of the following business structures.**

Answer

Legal Business Structure	Description
Sole Trader	e.g. Business is run by one owner who takes control of all aspects of the business and is responsible for cash flow and expenditure, taxation, licencing etc.
Partnership	e.g. This legal structure is run by two or more co-owners wo act on behalf of each other for business related activities. Responsibilities are shared as are business profits.
Company	e.g. This type of business is owned by shareholders. Unlike sole traders and partnerships, the company acts as a separate legal entity and takes hold of all profits and expenses. Shareholders share the profit of the company based on their agreed portion of shares.
Propriety Limited Company (PTY LTD)	e.g. A Propriety Limited Company is structured like a normal company but has a limited number of shareholders. These shareholders are responsible for the company's assets and liabilities relative to the shares they own.

Q3. **Briefly explain the function of the Competition and Consumer Act 2010.**

Answer

Should reflect an understanding of the function of the Competition and Consumer Act 2010 for example: The Competition and Consumer Act 2010 provides protection to consumers by promoting fair trading and competition among businesses providing similar products and services. This legislation regulates the relationship between suppliers, wholesalers, retailers and consumers

Q4. **Outline the five (5) areas of consumer rights that the Competition and Consumer Act protects.**

Answer

1. Should reflect: The five areas of consumer rights that the Competition and Consumer Act protects are:

2.
- Unfair contract terms, covering standard form consumer contracts
- Consumer rights when buying goods and services

3.
- Product safety
- Unsolicited consumer agreements covering door-to-door sales and telephone sales

4.
- Lay-by agreements

5.

Q5. **What are the two (2) primary environmental protection duties that apply to everyone in Queensland?**

Answer

1. Should reflect both of: General environmental duty – not to carry out an activity that may cause harm without taking measures to prevent or minimise the harm.

2. Duty to notify of environmental harm – to inform the relevant authority and landowners when environmental harm has occurred, or might occur.

Q6. **What are the Australian government requirements relating to registration of a business or company?**

Answer

Should reflect: Prospective business owners must secure an Australian Business Number (ABN) which allows them to legally operate. If you plan to run your business through a company, you need to register your company and get an Australian Company number (CAN).. You need to get your ACN before you can get your ABN and tax registrations. ABN is needed for taxation registrations relevant to PAYG and GST purposes.

Q7. **Provide four (4) types of records that the Work Health and Safety Act requires businesses to maintain.**

Answer

1. Should reflect four (4) of:

   Records of consultation on safety matters with workers.

   Health and safety program reviews that track the progress of the program.
2. Worker orientation records showing WHS education and training.

   Inspection reports providing historical information about hazards encountered how they were dealt with.
3. Meeting records supporting hazard prevention/mitigation actions.

   Incident investigation reports; First aid assessments and records.
4.

Q8. **Describe each of the compulsory and non-compulsory types of business insurance below.**

Answer

Insurance	Description
Workers compensation	e.g. A compulsory insurance payment to employees if they are injured at work or become sick due to their work. Employers must take out workers compensation insurance to cover themselves and their employees.
Product and public liability	e.g. Compulsory insurance that covers your potential liabilities to third parties for personal injury or damage to property. Product liability relates to injury or damage caused by products you distribute, supply or manufacture. Public liability relates to injury or property damage whilst you're on the job.
Property damage	e.g. Non-compulsory insurance covers damage to business property from fire, storms or explosions but not flood. It includes cover for buildings, contents and stock
Burglary and theft	e.g. Non-compulsory insurance often provided as an option within business insurance, covers losses in the event of a robbery on your business premises
Money	e.g. Non-compulsory insurance often provided as an option within business insurance, covers cash in transit, on business premises and in personal custody
Comprehensive Business vehicle insurance	e.g. Non-compulsory insurance that provides cover if the business vehicle is damaged or stolen.

☐

Q9. **Discuss what different codes and codes of practice provide to businesses.**

Answer

Should demonstrate an understanding of the purpose of codes, codes of conduct and codes of practice for example: A Code may include explanatory information, recommendations for best practice, or references to regulations, depending on industry. A Code may not have the same legal force as a regulation. A Mandatory Code is one that is documented in the Regulations and must be adhered to. While approved WHS codes of practice are not law, they are admissible in court proceedings. Courts may regard an approved code of practice as evidence of what is known about a hazard, risk or control and may rely on the relevant code to determine what is reasonably practicable in the circumstances

☐

Q10. **Discuss processes and procedures you would implement for storing and maintaining legal documents and business records.**

Answer

Should demonstrate an understanding of privacy and security relevant to record keeping for example: procedures must be in place for hard copy documents such as keeping filing cabinets locked at all times when not in use. Labelling of all files, folders, and boxes so that their contents, dates, and extent are clear. Permitting access to records storage areas to limited personnel. When storing records electronically, records should be arranged consistently and logically so that they can easily be found and used. They should be structured into folders and sub-folders with the other electronic records, including emails, that belong with that subject, case or project. Employee, client and supplier records must be compliant with privacy legislation and only made available to those authorised to use them. A back-up system must be implemented and privacy must be adhered to when locating screens.

☐

Q11. **Explain the system processes below that guide business owners through record keeping set up and use.**

Answer

System process	Explanation
Set up a records retention schedule	e.g. Organising a schedule defining how long records should be kept and disposed.
Develop and implement policies and procedures	e.g. The creation and sharing to relevant personnel of compliant, efficient and systematic control of receipt, maintenance, use and disposition of records about business activities and transactions
Access and store information	e.g. Adherence of personnel to policies and procedures during record keeping activities
Conduct compliance auditing	e.g. A routine audit and compliance assessment to determine compliance of record keeping processes and systems to determine business and information risks

Q12. **What is the purpose of creating a risk register for your business?**

Answer

Should reflect but is not limited to: The risk register is used to identify risks that could affect the business and includes the likelihood of it happening and the possible consequences. Once risks are identified and logged in the risk register, a risk treatment plan is generally created to prioritise the risks and record actions to take to prevent the issue or lessen its impact.

Q13. **Describe considerations that must be made regarding leasing or purchasing business premises.**

Answer

Business premises	Possible Answers
Leasing premises	e.g. If location is suitable for the business, such as neighbourhood, shop front, vehicle access requirements; If the size of the premises is suited to the business requirements. Security of the property suited to security requirements of the business. Terms of lease such as 3 x 3 years; overheads relating to the lease. Budget requirements to meet rental/lease payments.
Purchase premises	e.g. Condition of the building; Location and safety of the premises location; Capital expenditure of purchasing vs leasing. Maintenance and repair costs; Length of time you intend to remain at this location. Do you intend to sell freehold down the track – Potential capital gains tax.

☐

Q14. **Discuss what is included to meet minimum entitlements for employees.**

Answer

Should reflect but is not limited to: Businesses must meet the 11 minimum entitlements of the National Employment standards which begin with meeting employment wage requirements of the relevant award, contract or agreement and providing new employees with a copy of the Fair Work Information Statement (FWIS) or Casual Employment Information Statement (CEIS). Further requirements include not exceeding maximum weekly hours, flexible working arrangements, offers and requests to convert from casual to permanent employment, Providing annual leave, parental leave and personal/carer's leave when needed, provision for community service leave and long service leave, provisions for public holidays and providing sufficient notice of termination and redundancy pay.

☐

Q15. **Describe the four (4) stages of supplier selection when seeking to procure materials and products.**

Answer

Business premises	Possible Answers
Research	e.g. Identify your needs. What are your specific requirements? What compliance requirements apply to the materials/products?
Analyse	e.g. Assess the supplier's capabilities to meet your requirements. Do they have the resources you need? Are their products quality approved? Can they meet your timeline?
Review	e.g. Do suppliers live up to their promises? Can they deliver on time and on budget? Is their quality consistent with their claims?
Decide	e.g. Choose a supplier that meets all of your criteria and that will deliver on expectations

☐

Q16. **Describe steps that you take when procuring materials and products to ensure these meet required standards.**

Answer

Should reflect knowledge of material/product sourcing including NCC and workplace suitability requirement, for example: Establishing clear expectations with suppliers includes communicating the material/product standards to be met and what level of quality you expect. Request proposals from prospective suppliers and identify the suppliers capabilities. When you decide to use the supplier, put together a contract that outlines all of the expectations and requirements for both parties. If everything goes well, then both parties will benefit from a long and successful relationship. Ideally, work with trusted suppliers who have a proven track record of providing high-quality materials.

☐

Q17. **Discuss what you consider during negotiations to secure contractual procurement rights for goods and services.**

Answer

Should reflect but is not limited to: Each party should state the goals of the negotiation and their relationship and outcome expectations, to see if these match. Communication and listening skills to ensure understanding on both sides. Both parties should propose what they expect to achieve and offer compromises if needed. Ideally, any compromises should be equal and agreeable to both parties. There must be agreement on the basic elements such as price, delivery, quality, service, payment terms and other operational issues. Once compromises are reached, parties can make an agreement.

☐

Q18. **What does a successful supplier contract look like - what does it contain to meet your business plan?**

Answer

Should reflect but is not limited to: The supplier contract is a written agreement that outlines the terms of trade between your business and the supplier. Negotiations and contracts are usually based around an ongoing relationship rather than a one-time purchase. Both sides understand their rights and obligations under the contract and adhere to them. Both sides mutually benefit financially and operationally and both sides are responsive and committed to resolving issues. Contracts should include details of products and services to be supplied, placement of orders,

payment terms and conditions (e.g. deposit, discounts for early payments, price changes, payment options), delivery times and quality of the shipped product, including warranties and guarantees, insurances, indemnities, confidentiality, grievance, disputes and termination.

Q19. **Why is it a good idea to seek legal advice to confirm contractual rights and obligations?**

Answer

Should reflect but is not limited to: It is a good idea to access the expertise and ability of qualified legal advice to review and interpret your contract. This includes reviewing and interpreting the fine print and legal jargon to ensure the contract accurately records the agreement. By engaging legal advice, you will reduce the likelihood of problems or disputes arising as a result of all parties understanding the contract terms from the beginning.

A contract may contain terms that are unfair to you, which may otherwise go unnoticed without legal advice, and this timely advice may lead to contract termination.

Q20. **Briefly explain how to conduct each of the following steps of the risk management process.**

Answer

Risk Management Process	Explanation of How to Conduct Each Step of the Risk Management Process
Identify risks	e.g. During this step the organisation is expected to analyse current and past data and information to identify risks that can potentially prevent or increase the probability of achieving organisational goals or objectives.
Analyse risks	e.g. This involves assessing the overall impact of a risk based on its likeliness of occurring and the potential damage the risk can pose on the business based on any risk control measures currently in place.
Evaluate risks	e.g. This involves comparing risk analysis results with existing risk criteria to determine whether the residual risk is tolerable by the organisation, or if this requires additional treatment.
Treat Risks	e.g. This involves the planning and subsequent implementation of treatment plans required to eliminate or mitigate the effect of risks on the organisation.
Monitoring and reviewing risks	e.g. This is the continuous effort of the organisation to mitigate risk through checking deviations from risk management plan, reviewing risk management framework to ensure this is applicable to organisation, and review the effectiveness of risk management framework and treatment plans on identified risks in the workplace.

☐

Q21. **Briefly explain how each option for treating risk is applied in the workplace.**

Answer

Risk Treatment option	Explanation of How Each Option is Applied in the Workplace
Avoid	e.g. This involves the organisation reducing the chances of the risk occurring by not undergoing activities that can potentially generate or trigger the risk.
Reduce	e.g. This involves reducing the likelihood of risk occurring or the impact has on the organisation through implementation of risk treatment plans so that overall threat of the risk is reduced or eliminated.
Transfer	e.g. This involves shifting responsibility of the repercussions of the risk to other parties such as insurance coverage, outsourced services or partnerships.
Accept	e.g. This involves accepting the risk if this cannot be avoided, reduced or transferred. This requires the need of contingency plans so that the organisation is prepared to handle the consequences in the case that the risk occurs.

☐

Q22. **Outline six (6) requirements that you must include in a risk treatment plan.**

Answer

1. Should reflect: Details of each risk, including risk type and level
2. Strategies to treat each risk
3. Timeframes for each strategy
4. Person responsible for each strategy
5. Resources required to implement plan
6. Monitoring requirements

☐

BSBESB402
ESTABLISH LEGAL AND RISK MANAGEMENT REQUIREMENTS OF NEW BUSINESS VENTURES

WORKBOOK

Participant name	

FOR THE PARTICIPANT
Instructions

• You will complete written activities as outlined on the following pages. You must attempt all questions and provide enough detail in your responses to demonstrate your knowledge.
• The timeframe for these tasks will be established by your Assessor or Training Provider, additional time may be allowed upon negotiation with the Assessor.
• You must complete all questions unassisted by the Assessor or other personnel but may refer to reference material as needed. All questions must be answered correctly for a 'Satisfactory' assessment outcome to be awarded.
  ○ An oral examination may be allowed under certain circumstances, whereby your answers will be documented by another party.
  ○ Any written questions that are incomplete, or not answered satisfactorily will need to be completed again after further training support.
    ▪ If you answer a question incorrectly but modify your response, put your initials next to the written change (or the Assessor must initial a verbal change).

Resources required
Pen

FOR THE ASSESSOR
Instructions
• Where oral examination has occurred, ensure that this is acknowledged in writing (e.g. FT001 and Assessor Comments) • All questions must be satisfactorily demonstrated by the Participant for a Satisfactory determination (indicated by an Assessor tick to the right of the question). • Assessors are to complete marking in pen of a different colour to the Participant. • If the Participant verbally modifies their response, write in the modified response verbatim and put your initials next to the written change.

ASSESSOR COMMENTS
As necessary, outline: • Details on reattempts, alternative arrangements or reasonable adjustments made. • Where a Participant is deemed 'Not Satisfactory', provide recommendations for future training.

NOTE
At times, you will be provided with a specific business context to which you must respond, otherwise it is anticipated that you will use a workplace of your choosing (your own, or hypothetical) to provide the context to the task. At all times, the responses in your assessment must reference **Australian** (Queensland or Federal) documentation, including legislation, regulations, codes of practice, standards and guidance publications.

ACTIVITY 1
Access and review Volume 1, Part 1.5- Small business guide of the Corporations Act 2001 and respond to the following: a) Who can be a company director? b) Provide four (4) important duties that directors of a company are subject to. c) What information is relevant regarding the appointment of a company secretary? d) Provide the accounting tests that ascertain whether a company is classified as small or large. e) According to the Act. What is meant by financial records?

a) Who can be a company director?
e.g. An individual who is at least 18 years old. If a company has only 1 director, they must ordinarily reside in Australia. If a company has more than 1 director, at least 1 of the directors must ordinarily reside in Australia.
b) Provide four (4) important duties that directors of a company are subject to
e.g. Any four of: to act in good faith to act in the best interests of the company to avoid conflicts between the interests of the company and the director's interests to act honestly to exercise care and diligence to prevent the company trading while it is unable to pay its debts if the company is being wound up—to report to the liquidator on the affairs of the company if the company is being wound up—to help the liquidator (by, for example, giving to the liquidator any records of the company that the director has).

c) What information is relevant regarding the appointment of a company secretary?
e.g. A company other than a proprietary company must have a company secretary. However, a proprietary company may choose to have a company secretary. The directors appoint the company secretary. A company secretary must be at least 18 years old. If a company has only 1 company secretary, they must ordinarily reside in Australia. If a company has more than 1 company secretary, at least 1 of them must ordinarily reside in Australia. A company secretary must consent in writing to holding the position of company secretary. The company must keep the consent and must notify ASIC of the appointment.
d) Provide the accounting tests that ascertain whether a company is classified as small or large.
e.g. A company is classified as small for a financial year if it satisfies at least 2 of the following tests: gross operating revenue of less than $10 million for the year gross assets of less than $5 million at the end of the year fewer than 50 employees at the end of the year. A company that does not satisfy at least 2 of these tests is classified as large.
e) According to the Act. What is meant by financial records?
e.g. Financial records means a systematic record of the company's financial transactions stored digitally or in writing —not a collection of receipts, invoices, bank statements and cheque butts. (known as shoe box accounting)

Satisfactory Outcome ☐

ACTIVITY 2
Access the Australian Charities and Not-for-profits commission- Regulation of charities in Queensland to respond to the following: a) What does the obligation to "keep charity status' mean? b) What changes must charities notify the ACNC of? c) What are the ACNC governance standards? d) Which government office issues the incorporated association number to charities?

a) What does the obligation to "keep charity status' mean?
e.g. Charities must keep their charity status by maintaining their entitlement to registration. This includes being not-for-profit and having a charitable purpose that is for the public benefit.
b) What changes must charities notify the ACNC of?
e.g. legal name; Address For Service (where ACNC correspondence is sent); Responsible People (people who are members of your charity's governing body, including directors or committee members, or its trustees); Governing document (such as its constitution, rules or trust deed); If you think your charity is not meeting its ongoing obligations to the ACNC in a significant way, and as a result, your organisation is no longer entitled to be registered.
c) What are the ACNC governance standards?
e.g. a set of core, minimum standards relating to charity governance and how a charity is run – including its processes, activities and relationships.
d) Which government office issues the incorporated association number to charities?
e.g. Office of Fair Trading

Satisfactory Outcome ☐

ACTIVITY 3
Access and review Builder and builder restricted licences in the Queensland Building and Construction Commission (QBCC) to respond to the following: a) What is the scope of work covered by an open builder licence? b) What technical qualifications are required for a Builder- open contractor licence? c) Briefly describe other information you must submit to QBCC when applying for the Builder- open contractor licence.

a) What is the scope of work covered by an open builder licence?
e.g. Building work on all classes of buildings; Prepare plans and specifications that are: for the licensee's personal use, or for use in building work to be performed by the licensee personally. May include: Temporarily until 2 May 2025 – for the building work described above, install and maintain: Fire collars, fire-rated penetrations and fire-rated joint sealing; Fire and smoke walls and fire-rated ceilings.

b) What technical qualifications are required for a Builder- open contractor licence?
e.g. Any one of the following— (a) successful completion of Advanced Diploma of Building and Construction (Management) CPC60220; (b) successful completion of a course the commission considers is at least equivalent to the course mentioned in paragraph (a); (c) a recognition certificate as a qualified builder to carry out the scope of work for the licence class; (d) a qualification or statement of attainment of required competency for the class of licence

c) Briefly describe other information you must submit to QBCC when applying for the Builder- open contractor licence.
e.g. evidence of 4 years of experience in this scope of work or 2 years if qualified as a bricklayer, blocklayer or carpenter; 3 x referee reports from suitably qualified persons, confirming competency in scope of work and supervisory experience; Minimum financial requirements report or declaration; Demonstration of existing safety management system showing compliance with WHS Act; Application fee

Satisfactory Outcome ☐

ACTIVITY 4
Access and review record keeping requirements for taxation purposes at [the Australian Taxation Office] to respond to the following: a) How long must records required to meet your tax, super and registration obligations be kept? b) Describe PAYG withholding. c) When must a business register for GST?.

a) How long must records required to meet your tax, super and registration obligations be kept?
e.g. Five (5) years from when you prepared or obtained the record or completed the transactions or acts those records relate to, whichever is later. In some situations, the law states that the start of the 5-year retention period is different.
b) Describe PAYG withholding.
e.g. This the action of a business withhold an amount from the wage payment and sending it to the Australian Taxation Office (ATO). This works to prevent workers from having a large amount of tax to pay at the end of the financial year. You must be registered with the ATO for PAYG withholding before you are required to withhold from a payment
c) When must a business register for GST?
e.g. Any of: When the business has or expects to have a GST turnover (gross income from all businesses minus GST) of $75,000 or more if you're already in business and have reached the GST threshold When you provide taxi or limousine travel for passengers (including ride-sourcing) regardless of your GST turnover If you want to claim fuel tax credits for your business or enterprise.

Satisfactory Outcome ☐

BSBESB402
ESTABLISH LEGAL AND RISK MANAGEMENT REQUIREMENTS OF NEW BUSINESS VENTURES

PRACTICAL ASSESSMENT

Participant name	

FOR THE PARTICIPANT
Instructions
• The tasks outlined on the following pages will require performance of normal workplace activities, as a result of a structured activity set by an Observer in the workplace or a simulated activity set by your Assessor/Observer. • The timeframe for these tasks will be established by your Assessor/Observer in consideration of location conditions and industry requirements. • You must complete all tasks unassisted by the Assessor or other personnel, unless the steps note this assistance. • You must attempt all tasks (and itemised steps) for a 'Satisfactory' assessment outcome to be awarded.   o For any observation conducted that is incomplete, or without satisfactory performance, the observation will need to be completed again after further training support.

FOR THE ASSESSOR/OBSERVER
Instructions

• The following observation record should be used to judge and record your observations of the Participant as they complete the task(s) set. You must record your observations of the Participant's performance.
  o For each occasion, indicate the task performed and whether it was a simulation or workplace-based task.
    ▪ Any simulated assessment must ensure the Participant still performs under workplace conditions which reflect industry standards.
  o In the comments, provide clear detail regarding the task that the Participant was required to do (e.g. PPE used, materials handled, attachments connected, plant types).
• All steps must be satisfactorily demonstrated by the Participant for a 'Satisfactory' determination (indicated by an Assessor tick to the right of each itemised step, or an Observer tick to the right of each itemised step, and confirmation by an Assessor in the Assessor Comments).
  o Where you have determined that one or more task steps have not been satisfactorily demonstrated, provide the Participant with additional support and outline details of such assistance in the Assessor/Observer Comments. Allow the Participant two (2) further opportunities to demonstrate the task again to allow an opportunity for a 'Satisfactory' assessment outcome to be achieved.
  o If after three (3) attempts the Assessor determines that the Participant cannot demonstrate the required steps, a 'Not Satisfactory' outcome is to be determined.

TASK OUTCOME					
Task	Date	Task Type (Tick)	Location	Task outcome (Tick)	
				Satisfactory	Not Satisfactory
Task 1		☐ Workplace ☐ Simulation		☐	☐

ASSESSOR COMMENTS: GENERAL
As necessary, outline: • Details on reattempts, alternative arrangements or reasonable adjustments made. • Where a Participant is deemed 'Not Satisfactory', provide recommendations for future training.

ASSESSOR COMMENTS: PRACTICAL TASK 1	
☐ Individual student (as named on cover page) ☐ Multiple students [☐ All from Attendance Report, ☐ Specific students involved – identify students]	
Task	**Provide detail**
1.1A.	Specify Business legal structure: e.g. Sole trader; Company; Partnership
1.1A.	Specify sources accessed and read to determine legal structure and associated legislated requirements. e.g. Business.gov.au; ABLIS
1.2C.	Specify systems established to recognise areas of non-compliance and keep the business up-to-date on legal and risk management requirements: e.g. Diary entries for renewals and monitoring. Flags set in spreadsheets; Notifications set to government websites
1.2D.	Specify corrective action taken on non-compliance where applicable: e.g. Corrective action taken to protect financial information being seen by non-approved personnel
1.1A. 1.3C. 1.3D. 1.3E.	Specify (✓) how the participant communicated with others: ☐ Does not interrupt ☐ Applies active listening ☐ Asks relevant questions ☐ Uses suitable tone ☐ Use of suitable language ☐ Delivers words clearly ☐ Other (please specify):
1.3E.	Specify legal advice sought regarding supplier contract/s. e.g. Businesses legal advisor read through contract for acuity.