



# **Assessment Tasks**

## **Assessor Guide**

**BSBRSK501A: Manage risk**

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## Assessment Documentation

This Assessor Guide is designed to provide standardised documentation and assessment procedure for the assessment processes conducted by this RTO.

The assessment tools that are used by you (the assessor) will result in evidence being generated by the student targeting this unit of competency. The evidence is kept by the RTO and is required for audit purposes.

The following table summarises the types of evidence students can generate as proof of competence. The table contains information based on the AQF (Australian Qualifications Framework) Level for the unit **BSBR501A: Manage risk**. Sample assessment tools have been suggested as a means of assisting students in generating the appropriate form of evidence for this unit.

AQF Level	Distinguishing Features (Source: AQF Implementation Handbook 2007: Guidelines)	Type of evidence to be used	Sample assessment tools
Diploma	<ul style="list-style-type: none"><li>▪ Demonstrate understanding of a broad knowledge base incorporating theoretical concepts, with substantial depth in some areas</li><li>▪ Analyse and plan approaches to technical problems or management requirements</li><li>▪ Transfer and apply theoretical concepts and/or technical or creative skills to a range of situations</li><li>▪ Evaluate information using it to forecast for planning or research purposes</li><li>▪ Take responsibility for own outputs in relation to specified quality standards</li><li>▪ Take some responsibility for the achievement of group outcomes</li></ul>	<ul style="list-style-type: none"><li>▪ Workplace achievement</li><li>▪ Answers to case study</li><li>▪ Work samples from a range of areas</li><li>▪ Practical demonstration</li><li>▪ Role playing a specific process</li><li>▪ Log book</li><li>▪ Photographs / videos</li><li>▪ Third party report</li></ul>	<ul style="list-style-type: none"><li>▪ Performance checklist for demonstrations / role plays</li><li>▪ Case study scenarios and questions with benchmark answers</li><li>▪ End product summary checklist</li><li>▪ Written/oral questions and benchmark answers</li></ul>

The assessment activities associated with the unit of competency **BSBR501A: Manage risk** are listed below:

Assessment 1: Written	<ul style="list-style-type: none"><li>▪ Written answers to questions</li></ul>
Assessment 2: Project	<ul style="list-style-type: none"><li>▪ Written responses to tasks</li></ul>
Assessment 3: Project	<ul style="list-style-type: none"><li>▪ Written responses to tasks</li></ul>
Assessment 4: Project	<ul style="list-style-type: none"><li>▪ Written responses to tasks</li></ul>
Assessment 5: Project	<ul style="list-style-type: none"><li>▪ Written responses to tasks</li></ul>

## Assessment Information

*The candidate has been given the following information*

This guide contains all of the assessment tasks required for completion of unit of competency **BSBRSK501A: Manage risk**.

Prior to commencing the assessments your assessor will explain each task to you. You will be given the opportunity to ask questions and to seek clarification on any of the tasks, and your assessor will remain available to support you through the assessment process.

Your assessor is also available to discuss Recognition of Prior Learning and whether this applies to your circumstances.

## Terms and conditions

### Submitting your evidence portfolio

You are recommended to seek the advice of your assessor when putting together your evidence portfolio in order to confirm that you have provided sufficient evidence of competency.

You should note that your evidence portfolio must be retained by the Registered Training Organisation for audit purposes and will not be returned to you. If you wish to keep any evidence, you should make a copy prior to submission for assessment. You are advised to make sure you clearly label each answer and task and complete all sections of each assessment.

If possible, you should also submit copies of any workplace documents that may be relevant to this unit of competency. In this case you will need to gain approval to provide the copies from your employer.

### Ownership and plagiarism

You are advised by accepting these terms and conditions you have declared the evidence that you submit is your own work or the result of your own research. By signing the declaration below you acknowledge your assessment is your own and contains no material written by another person except where due reference is made. Note that if you quote any source in your evidence, you must provide a reference to the source in order to ensure that you do not breach Copyright legislation. You need to be aware that a false declaration may lead to the withdrawal of a qualification.

### Re-submission of your evidence portfolio

If your evidence meets the requirements of the unit of competency you will be assessed as Competent (**C**) in this unit. If your evidence does not meet the requirements of the unit of competency you will be assessed as Not Yet Competent (**NYC**). If you are assessed NYC, it is important to discuss your re-submission with your assessor as you will be given one opportunity only to revise and re-submit your evidence portfolio.

### Candidate's declaration of original authorship

The candidate is required to sign the following declaration in the Candidate copy of this Assessment.

I declare that this assessment is my own and contains no material written by another person except where due reference is made. I am aware that a false declaration may lead to the withdrawal of a qualification

## BSBRSK501A: Manage risk

### Elements

#### 1. Establish risk context

*Performance Criteria (PC):*

- 1.1 Review organisational processes, procedures and requirements for undertaking risk management
- 1.2 Determine scope for risk management process
- 1.3 Identify internal and external stakeholders and their issues
- 1.4 Review political, economic, social, legal, technological and policy context
- 1.5 Review strengths and weaknesses of existing arrangements
- 1.6 Document critical success factors, goals or objectives for area included in scope
- 1.7 Obtain support for risk management activities
- 1.8 Communicate with relevant parties about the risk management process and invite participation

#### 2. Identify risks

*Performance Criteria (PC):*

- 2.1 Invite relevant parties to assist in the identification of risks
- 2.2 Research risks that may apply to scope
- 2.3 Use tools and techniques to generate a list of risks that apply to the scope, in consultation with relevant parties

#### 3. Analyse risks

*Performance Criteria (PC):*

- 3.1 Assess likelihood of risks occurring
- 3.2 Assess impact or consequence if risks occur
- 3.3 Evaluate and prioritise risks for treatment

#### 4. Select and implement treatments

*Performance Criteria (PC):*

- 4.1 Determine and select most appropriate options for treating risks
- 4.2 Develop an action plan for implementing risk treatment
- 4.3 Communicate risk management processes to relevant parties
- 4.4 Ensure all documentation is in order and appropriately stored
- 4.5 Implement and monitor action plan
- 4.6 Evaluate risk management process

### Required Skills

- RS 1. •communication and literacy skills to consult and negotiate, to prepare communications about risk management, and to encourage stakeholder involvement
- RS 2. •organisational and management skills to plan and implement risk management processes
- RS 3. •problem-solving and innovation skills to find practical ways to manage identified risks.

### Required Knowledge

- RK 1. •AS/NZS 4360:2004 Risk management.
- RK 2. •legislation, codes of practice and national standards, for example:
- duty of care
  - company law
  - contract law
  - environmental law
  - freedom of information
  - industrial relations law
  - privacy and confidentiality
  - legislation relevant to organisation's operations
  - legislation relevant to operation as a business entity
- RK 3. •organisational policies and procedures, including:
- risk management strategy
  - policies and procedures for risk management

### Required Knowledge

- RK 4. •overall operations of organisation  
RK 5. •reasonable adjustment in the workplace for people with a disability  
RK 6. •types of available insurance and insurance providers.

### Critical aspects of evidence

*Evidence of the following is essential:*

- CAE 1. •risk management plan which includes a detailed stakeholder analysis, explanation of the risk context, critical success factors, identified and analysed risks, and treatments for prioritised risks  
CAE 2. •details of monitoring arrangements for risk management plan and an evaluation of the risk management plan's efficacy in treating risks  
CAE 3. •knowledge of relevant legislation, codes of practice and national standards.

### Employability Skills

*Industry and enterprise requirements for the qualification:*

- ES 1. Communication  
•conducting research to collect and analyse information in a range of reports  
•consulting with others to develop a range of plans and reports  
•liaising with stakeholders and promoting participative workplace arrangements  
•negotiating solutions to new and emerging issues
- ES 2. Teamwork  
•contributing to the development of other team members  
•providing feedback on team performance to colleagues and managers
- ES 3. Problem solving  
•applying risk management processes to business operations  
•assessing financial viability of new opportunities and matching organisational capability with market needs
- ES 4. Initiative and enterprise  
•encouraging creative and innovative workplace solutions  
•identifying new and emerging opportunities for the business and developing strategies to capitalise on them  
•managing, fostering and facilitating change
- ES 5. Planning and organising  
•developing systems that are flexible and responsive to changing circumstances  
•planning for contingencies and performance of staff and systems
- ES 6. Self management  
•dealing with contingencies  
•managing own time and priorities  
•taking responsibility as required by work role and ensuring all organisational policies and procedures are adhered to
- ES 7. Learning  
•assisting others to acquire new knowledge and skills to improve team and individual performance
- ES 8. Technology  
•using electronic communication devices and processes such as internet, intranet, email to produce written correspondence and reports  
•using technology to assist the management of information and to assist the planning process

Candidates targeting unit **BSBRSK501A: Manage risk** need to complete all formative activities in preparation for the five summative assessment activities required for this unit.

The candidate is provided with instructions for each of the summative assessment activities in her/his assessment task book.

**If at any stage of the assessments, you believe that the safety of anyone is in jeopardy, you should abort the assessment session.**

## Assessment 1: Written Test

*The following instructions have been provided to the candidate.*

### Instructions to Candidate

You are required to answer the following questions to confirm your knowledge in relation to unit **BSBRSK501A: Manage risk**.

You may refer to your training materials and other research while completing the answers.

Write your answers in the spaces below using a blue or black pen. Alternatively type a document and provide a printed copy. If you re-type the document, repeat each question in the document and type your answer under the question.

### Instructions to Assessor: Written Benchmark Answers

The following answers are supplied for you (the assessor). Please ensure when marking the candidate's work that you adhere to the prescribed answers. The benchmark answers in the following table are intended as a guide to ensure consistency of assessment.

Questions and benchmark answers		Mapping
Question 1.	What is the name of the organisation that issues the AS/NZS 4360:2004 Risk Management Standard?	
	Standards Australia	RK 1 CAE 3
Question 2.	Is the Risk Management Standard a generic code of practice for managing A. Occupational Health and Safety within an organisation, hazards and negative impacts; or B. Risks to an organisation achieving its objectives, associated with exposure to the consequences of uncertainty?	
	B. Risks to an organisation achieving its objectives, associated with exposure to the consequences of uncertainty	RK 1 CAE 3
Question 3.	Define in your own words the meaning of "duty of care" for an employer.	
	<i>Answers should be worded to indicate:</i>  To provide and maintain, as far as is reasonably practicable, an environment at the workplace and/or adjacent to the workplace that is safe and without risk to persons.	RK 2
Question 4.	Name the main company law (legislation) that provides the guidelines and legal requirements for corporations to operate as an Australian incorporated body.	
	Corporations Act 2001	RK 2 CAE 3

Questions and benchmark answers	Mapping
Question 5. What are the three key elements of a contract under Australian contract law?	
1. An offer 2. Acceptance of the offer 3. Consideration	RK 2
Question 6. There are 2 main Acts that relate to the protection of the environment and the conservation of biodiversity in Queensland. <ul style="list-style-type: none"> <li>The Environment Protection and Biodiversity Conservation Act, 1999 (Commonwealth)</li> <li>The Environmental Protection Act 1994 (Qld).</li> </ul> What are the 4 key areas of pollution covered by environmental protection legislation?	
1. Water 2. Air 3. Noise 4. Waste disposal	RK 2 CAE 3
Question 7. What is the name of the tribunal which has taken over the former functions of the Australian Industrial Relations Commission (AIRC)?	
Fair Work Australia	RK 2 CAE 3
Question 8. What is the name of Australia's national privacy regulator?	
<ul style="list-style-type: none"> <li>The Australian Privacy Commissioner is the national privacy regulator</li> </ul>	RK 2 CAE 3
Question 9. What is the Commonwealth Act (legislation) that the privacy regulator performs functions under?	
<ul style="list-style-type: none"> <li>The Office of the Australian Privacy Commissioner performs functions under the Privacy Act 1988.</li> </ul>	RK 2 CAE 3



Questions and benchmark answers	Mapping
Question 10. Identify (by name and date) 3 current Commonwealth Acts (legislation) that affect business operations.	
<p><i>Answers should state 3 of the following or any other current Commonwealth Act that relates to business operations</i></p> <ul style="list-style-type: none"> <li>• Age Discrimination Act, 2004</li> <li>• Copyright Act 1968</li> <li>• Corporations Act 2001</li> <li>• Disability Discrimination Act, 1992</li> <li>• Environment Protection and Biodiversity Conservation Act, 1999</li> <li>• Fair Work Act 2009</li> <li>• Privacy Act 1988</li> <li>• Racial Discrimination Act, 1975</li> <li>• Sex Discrimination Act, 1984</li> </ul>	<p>RK 2 CAE 3</p>
Question 11. In the workplace it is a legal requirement to make reasonable adjustments for people with a disability. Name the Act that employers must comply with.	
Disability Discrimination Act 1992	RK 5
Question 12. List 3 types of insurance designed to protect business assets.	
<p><i>Answer should identify 3 of the following:</i></p> <ul style="list-style-type: none"> <li>• Building and contents</li> <li>• Deterioration of stock</li> <li>• Electronic equipment</li> <li>• Machinery breakdown</li> <li>• Motor vehicles and fleets</li> <li>• Third party, fire and theft</li> </ul>	RK 6
Question 13. Identify the compulsory insurance that an employer must take out in case of injury to employees in the course of their work.	
Workers Compensation Insurance	RK 6
Question 14. Identify 2 types of liability insurance designed to protect a business from the financial risk of a legal claim for damages.	
<p><i>Answer should identify 2 of the following:</i></p> <ul style="list-style-type: none"> <li>• Public Liability</li> <li>• Professional Indemnity</li> <li>• Product Liability</li> </ul>	RK 6
Total Questions	14

### **Assessment checklist – Assessor Note**

Please complete the assessment checklist in the Candidate Guide to record the assessment process and outcome.

The checklist contains a declaration by the candidate as follows:

- The purpose and outcomes of the assessment have been explained.
- I have received information about the unit of competency.
- I understand the type of evidence to be collected.
- The appeals system has been explained to me.
- I have notified my assessor of any special needs that may need to be considered during the assessment.

The checklist contains a section for the assessor to record the following:

- Whether RPL / Accelerated progression is required
- Whether Language / Literacy / Numeracy support is required
- Any other special needs

## Assessment 2: Project

*The following instructions have been provided to the candidate.*

### Instructions to Candidate

This activity is related to the unit of competency **BSBR501A: Manage risk**. In particular, you will be required to demonstrate your skills and knowledge in relation to this unit of competency.

You may refer to your training materials and other research if required. The activity may be completed in the workplace or a simulated workplace.

Your assessor will use a checklist to record the assessment decision.

### Overview

Below are a number of practical tasks to be completed over a period of time in a real or simulated workplace where you will perform the duties of a **manager**. The times for completion of the tasks are to be negotiated between yourself and the assessor. The tasks will reflect your ability to:

Project: Establish the context for risk management including stakeholders, and critical success factors

Your assessor will provide you with instructions and complete a checklist on which they will record your satisfactory performance of workplace tasks.

The Project Tasks table below identifies the documents that you are required to prepare and submit in your evidence portfolio. They may be presented in printed format in a folder or as an electronic copy.

Ensure both your name and student number is clearly displayed.

## Instructions to Assessor

The following benchmarks are supplied for you (the assessor). Please ensure when marking the candidate's work that you adhere to the prescribed benchmarks which are intended as a guide to ensure consistency of assessment.

Project Tasks	Mapping
The following tasks may be completed as a workplace project based on your own organisation and job role, or as a simulated workplace project based on a fictitious organisation, or an organisation you are familiar with.	
<p>1. Identify an organisation and its processes, procedures and requirements for undertaking risk management.</p> <p>For an organisation where you are the manager of a department, identify the following:</p> <ul style="list-style-type: none"><li>• Name of the organisation, a description of the type of activities it conducts.</li><li>• The organisation's objectives/goals. (One or two sentences.)</li><li>• The organisation's requirements and processes for managing corporate and operational risks. This should identify:<ul style="list-style-type: none"><li>○ A list of the organisational documentation or plans that must incorporate a risk management plan.</li><li>○ A list of the structure (or headings) that must be included in the risk management plan.</li></ul></li></ul> <p>You are required to provide your assessor with the following document:</p> <ul style="list-style-type: none"><li>• A document with the title "<b>Organisational Risk Management Processes</b>" containing the above information.</li></ul>	PC 1.1 RK 3-4 ES 1

### Has the candidate met the following criteria for Task 1

*Candidate's responses may vary*

A document with the title "Organisational Risk Management Processes".

- Identified an organisation and described the type of activities it conducts.
- Identified the organisation's objectives/goals in one or two sentences.
- Included the following types of documents in their list of organisational documents or plans where a risk management plan is required:
  - Strategic plans
  - Operational plans
  - Project plans
- Identified the following areas in their list of the structure of the risk management plan.
  - Establishing the context
  - Identifying the risks
  - Analysing and/or evaluating the risks
  - Treating the risks

Project Tasks	Mapping
<p>2. As a manager, when developing a risk management plan for a project, you need to identify a project's goals or objectives and its scope and critical success factors for risk management.</p> <ul style="list-style-type: none"> <li>Describe a project designed to promote the goals/objectives of the organisation that you identified in Task 1. This may be a major project requiring strategic change management such as: <ul style="list-style-type: none"> <li>Technological innovation</li> <li>New products or services</li> <li>Opening new markets</li> <li>Organisational restructure</li> </ul> Alternatively, it may be an internal operational project such as: <ul style="list-style-type: none"> <li>Office refurbishment</li> <li>Relocation of premises</li> <li>Re-tooling of assembly plant</li> <li>Marketing activities</li> <li>Training activities</li> </ul> </li> <li>Explain the scope of the project in terms of "deliverables" (what it is designed to achieve).</li> <li>Relate the deliverables to the goals/objectives of the organisation and explain how the project promotes them.</li> <li>Identify the Critical Success Factors (CSF) - factors that must be present in order for the project to be successful and promote the organisation's goals.</li> </ul> <p>You are required to provide your assessor with the following document:</p> <ul style="list-style-type: none"> <li>A document with the title "<b>Scope and Critical Success Factors</b>" containing the above information.</li> </ul>	<p>PC 1.2, 1.6 CAE 1 RS 1-2 RK 4 ES 1, 3-4</p>

#### Has the candidate met the following criteria for Task 2

*Candidate's responses may vary*

A document with the title "Scope and Critical Success Factors".

- Described a project that promotes the goals/objectives of the organisation identified in Task 1.
- Explained the scope of the project in terms of "deliverables". These are the performance standards for the project.
- Explained how the project promotes the goals/objectives of the organisation
- Identified the CSFs that are critical to the success of the project. Examples might include:
  - The skills and knowledge of the project team members
  - The availability of key resources
  - External factors such as market acceptance

Project Tasks	Mapping
<p>3. As a manager, when developing a risk management plan, you need to identify the key issues for stakeholders and the methods of communicating and obtaining support for the risk management activities.</p> <ul style="list-style-type: none"> <li>Refer to each of the Critical Success Factors (CSF) that you identified for the project in Task 2. For each CSF: <ul style="list-style-type: none"> <li>Identify the project stakeholders that are involved in the CSF. Stakeholders should be considered as any individual, group or entity that the project will affect, and may include: <ul style="list-style-type: none"> <li>Clients or customers</li> <li>Suppliers and contractors</li> <li>Internal project team members</li> <li>Other personnel or departments within the organisation.</li> <li>The project sponsor or management of the organisation</li> <li>A project funding body</li> </ul> </li> <li>Explain the relationship between each group of the stakeholders and the identified CSF.</li> <li>Discuss (one paragraph) the methods that you can use to communicate with relevant parties and obtain their support for your risk management activities. Explain the kinds of support that you would invite them to give. Relevant parties may include: <ul style="list-style-type: none"> <li>All staff</li> <li>Internal and external stakeholders</li> <li>Senior management</li> <li>Specific teams or business units</li> <li>Technical experts</li> </ul> </li> </ul> </li> </ul> <p>You are required to provide your assessor with the following document:</p> <ul style="list-style-type: none"> <li>A document with the title <b>"Stakeholder Key Issues and Support"</b> containing the above information.</li> </ul>	<p>PC 1.3, 1.7-1.8 CAE 1 RS 1-2 RK 4 ES 1, 3</p>

### Has the candidate met the following criteria for Task 3

*Candidate's responses may vary*

A document with the title "Stakeholder Key Issues and Support":

- The document should refer to the Critical Success Factors identified in Task 2
- The candidate should identify internal and external stakeholders that are relevant to the project, and relate the stakeholders to the CSF's.
- The relationship should attempt to show how the specific stakeholder or group is essential to the success of the project. If they are part of the project team, a supplier or contractor, they are a critical success factor for implementation and achieving project deliverables. If they are a client or customer, their needs, desires and capacity to purchase are critical success factors.
- Methods of communication will vary depending upon the project and identified CSFs. Internal meetings, presentations, and various forms of written communication may be identified. External communication may involve market research activities or other methods of communication. The candidate should identify the kinds of support that they would invite relevant parties to give, such as involvement in the planning of risk management activities and participation in risk management activities.

Project Tasks	Mapping
<p>4. In your role as manager, when developing a risk management plan, you need to establish the context of the risk management plan in relation to external factors.</p> <p>Refer to the project that you identified in Task 1 and the context of the risk management plan that you have developed in Tasks 2 and 3.</p> <ul style="list-style-type: none"> <li>Identify external factors that could have an impact upon the success or otherwise of the project. Your report should have 4 headings and one paragraph under each heading. If you consider that these factors will have no impact upon the project, explain your reasons. <ul style="list-style-type: none"> <li>Political factors</li> <li>Economic factors</li> <li>Social factors</li> <li>Technological factors</li> </ul> </li> </ul> <p>You are required to provide your assessor with the following document:</p> <ul style="list-style-type: none"> <li>A document with the title “<b>External Factors</b>” containing the above information.</li> </ul>	<p>PC 1.4 CAE 1 RS 3 RK 4 ES 1, 3</p>

Has the candidate met the following criteria for Task 4
<p><i>Candidate's responses may vary</i></p> <p>A document with the title “External Factors”</p> <ul style="list-style-type: none"> <li>The report should identify any political, economic, social or technological factors that may have an impact upon the success of the project. The report may emphasise negative impacts or be balanced between positive and negative impacts.</li> <li>The report should show that the candidate is focusing on the final outcome or goal of the project, and the critical success factors in achieving the goal, as it was stated in Task 1.</li> <li>Where the report has not identified an impact for each heading, it should have a short paragraph explaining why this factor would not have an impact.</li> </ul>

Project Tasks	Mapping
<p>5. As a manager of an organisational project, you need to review the strengths and weaknesses of the existing arrangements, within the context of the identified project.</p> <ul style="list-style-type: none"> <li>Complete a SWOT analysis in relation to your project. <ul style="list-style-type: none"> <li>Refer to the documents you designed in the previous tasks.</li> <li>Identify the internal strengths of the team and the organisation as it relates to your project.</li> <li>Identify any internal weaknesses of the team and the organisation as it relates to your project.</li> <li>Identify any external opportunities that exist for the organisation in relation to your project.</li> <li>Identify any external threats that exist for the organisation in relation to your project.</li> </ul> </li> </ul> <p>You are required to provide your assessor with the following document:</p> <ul style="list-style-type: none"> <li>A document with the title “<b>SWOT analysis</b>” containing the above information.</li> </ul>	PC 1.5 CAE 1 RS 2 ES 3-5

Has the candidate met the following criteria for Task 5
<p><i>Candidate's responses may vary</i></p> <p>A document with the title “SWOT analysis”.</p> <ul style="list-style-type: none"> <li>The SWOT analysis should review the strengths and weaknesses of existing arrangements as they relate to the project within the context of the organisation and any external factors.</li> <li>The candidate should demonstrate separation of internal (strengths and weaknesses) and external (opportunities and threats) factors in their analysis.</li> <li>The previous tasks completed by the candidate should be used as a reference, particularly the critical success factors that they identified.</li> </ul>

Project Task	Mapping
<p><b>The overall project task:</b></p> <p>Compile all the above documents together. They will be assessed separately and then assessed for overall readability, which includes use of appropriate grammar and punctuation in sentences and paragraphs.</p>	ES 1, 8
<p><b>Has the candidate met the following criteria for the overall project task</b></p> <p>Reports display appropriate readability by using appropriate grammar and punctuation in sentences and paragraphs.</p>	



### **Assessment checklist – Assessor Note**

Please complete the assessment checklist in the Candidate Guide to record the assessment process and outcome.

The checklist contains a declaration by the candidate as follows:

- The purpose and outcomes of the assessment have been explained.
- I have received information about the unit of competency.
- I understand the type of evidence to be collected.
- The appeals system has been explained to me.
- I have notified my assessor of any special needs that may need to be considered during the assessment.

The checklist contains a section for the assessor to record the following:

- Whether RPL / Accelerated progression is required
- Whether Language / Literacy / Numeracy support is required
- Any other special needs

SAMPLE

## Assessment 3: Project

*The following instructions have been provided to the candidate.*

### Instructions to Candidate

This activity is related to the unit of competency **BSBR501A: Manage risk**. In particular, you will be required to demonstrate your skills and knowledge in relation to this unit of competency.

You may refer to your training materials and other research if required. The activity may be completed in the workplace or a simulated workplace.

Your assessor will use a checklist to record the assessment decision.

### Overview

Below are a number of practical tasks to be completed over a period of time in a real or simulated workplace where you will perform the duties of a **manager**. The times for completion of the tasks are to be negotiated between yourself and the assessor. The tasks will reflect your ability to:

Project: Identify the risks that apply to the scope, in consultation with relevant parties

Your assessor will provide you with instructions and complete a checklist on which they will record your satisfactory performance of workplace tasks.

The Project Tasks table below identifies the documents that you are required to prepare and submit in your evidence portfolio. They may be presented in printed format in a folder or as an electronic copy.

Ensure both your name and student number is clearly displayed.

## Instructions to Assessor

The following benchmarks are supplied for you (the assessor). Please ensure when marking the candidate's work that you adhere to the prescribed benchmarks which are intended as a guide to ensure consistency of assessment.

Project Tasks	Mapping
The following tasks may be completed as a workplace project based on your own organisation and job role, or as a simulated workplace project based on a fictitious organisation, or an organisation you are familiar with.	
<p>1. As a manager planning risk management activities, you need to identify the relevant parties that you will invite to assist in the identification of risks.</p> <p>Refer to the risk context that you established in Assessment 2: Project. Note that AS/NZS 4360:2004 Risk Management Standard states that all stakeholders who have a vested interest in the project should be consulted and/or communicated with at the earliest stage of the risk management process.</p> <ul style="list-style-type: none"> <li>Identify the parties within the organisation that you would consult when developing your risk management plan.</li> <li>Identify any parties external to the organisation that you would consult when developing your risk management plan.</li> <li>Explain the techniques you would use to bring together different areas of expertise in order to identify and analyse risks.</li> <li>Explain the benefits of consultation with the project team members to promote a sense of "ownership".</li> <li>Describe the methods of communication and consultation that you would use for the parties that you identified.</li> </ul> <p>You are required to provide your assessor with the following document:</p> <ul style="list-style-type: none"> <li>A document with the title <b>"Identifying Risks through Consultation"</b> containing the above information.</li> </ul>	<p>PC 2.1, 2.3 CAE 1 RS 1 RK 4 ES 1-3, 5-6</p>

Has the candidate met the following criteria for Task 1
<p><i>Candidate's responses may vary</i></p> <p>A document with the title "Identifying Risks through Consultation".</p> <ul style="list-style-type: none"> <li>The identified parties should include all internal and external stakeholders that were in the candidate's response to Assessment 2: Project, Task 3, because AS/NZS 4360:2004 states that all parties with a vested interest should be consulted.</li> <li>Techniques for bringing together different areas of expertise will vary according to the project chosen and the stakeholders identified. Some examples are brainstorming, scenario analysis, meetings, market research, questionnaires, informal feedback, teleconferencing.</li> <li>Benefits of consultation to promote a sense of "ownership": example answers may be: <ul style="list-style-type: none"> <li>Ensuring different views are taken into account.</li> <li>Engagement of stakeholders.</li> <li>Allowing stakeholders to appreciate the benefits of risk control measures.</li> <li>Allows stakeholders to appreciate the need for a risk management plan.</li> <li>Gives an opportunity for stakeholders to endorse the risk management plan.</li> </ul> </li> <li>Methods of communication may be meetings, informal feedback and consultation and written correspondence (email etc)</li> </ul>

Project Tasks	Mapping
<p>2. As a manager, you need to use relevant tools and techniques to identify risks related to your project.</p> <ul style="list-style-type: none"> <li>Create a checklist of the risks associated with the project scope and for each risk explain: <ul style="list-style-type: none"> <li>What can happen?</li> <li>When and where?</li> <li>How and why?</li> </ul> </li> <li>Explain how you used the fishbone diagram tool in order to analyse cause and effect. A fishbone diagram is not required to be submitted. Discuss your experience of the effectiveness of the technique in relation to your project.</li> <li>Explain how used scenario analysis to identify risks. Discuss the way you involved the project team in conducting a scenario analysis. Give a brief outline of the steps that you used.</li> </ul> <p>Note: Ensure that you also address any risks to occupational health and safety.</p> <p>You are required to provide your assessor with the following document:</p> <ul style="list-style-type: none"> <li>A document with the title “<b>Identifying Risks</b>” containing the above information.</li> </ul>	<p>PC 2.2, 2.3 CAE 1 RS 1-3 ES 1, 3, 5</p>

#### Has the candidate met the following criteria for Task 2

*Candidate's responses may vary*

A document with the title “Identifying Risks”.

- A checklist of the risks, (including OHS risks where relevant) ensuring that they have explained what can happen, when, where, how and why, if this is relevant to the risks identified.
- An explanation of how the Fishbone Diagram is used as a tool to analyse cause and effect.
- A review of the effectiveness of the fishbone diagram technique in relation to the candidate's project.
- An explanation of using scenario analysis as a tool for identifying risks.
- A discussion of how the candidate involved the team in scenario analysis, for example in a team meeting or brainstorming session.
- A brief outline of the steps involved in scenario analysis:
  - Describing the basic scenario / situation.
  - Plotting a course of action (the tasks involved)
  - Collaborate with stakeholders to identify major tasks and a “safe route”
  - Tease out the possible deviations from the safe route.

Project Task	Mapping
<p><b>The overall project task:</b></p> <p>Compile all the above documents together. They will be assessed separately and then assessed for overall readability, which includes use of appropriate grammar and punctuation in sentences and paragraphs.</p>	ES 1, 8
<p><b>Has the candidate met the following criteria for the overall project task</b></p> <p>Reports display appropriate readability by using appropriate grammar and punctuation in sentences and paragraphs.</p>	

### Assessment checklist – Assessor Note

Please complete the assessment checklist in the Candidate Guide to record the assessment process and outcome.

The checklist contains a declaration by the candidate as follows:

- The purpose and outcomes of the assessment have been explained.
- I have received information about the unit of competency.
- I understand the type of evidence to be collected.
- The appeals system has been explained to me.
- I have notified my assessor of any special needs that may need to be considered during the assessment.

The checklist contains a section for the assessor to record the following:

- Whether RPL / Accelerated progression is required
- Whether Language / Literacy / Numeracy support is required
- Any other special needs

## Assessment 4: Project

*The following instructions have been provided to the candidate.*

### Instructions to Candidate

This activity is related to the unit of competency **BSBRSK501A: Manage risk**. In particular, you will be required to demonstrate your skills and knowledge in relation to this unit of competency.

You may refer to your training materials and other research if required. The activity may be completed in the workplace or a simulated workplace.

Your assessor will use a checklist to record the assessment decision.

### Overview

Below are a number of practical tasks to be completed over a period of time in a real or simulated workplace where you will perform the duties of a **manager**. The times for completion of the tasks are to be negotiated between yourself and the assessor. The tasks will reflect your ability to:

Project: Conduct a risk assessment

Your assessor will provide you with instructions and complete a checklist on which they will record your satisfactory performance of workplace tasks.

The Project Tasks table below identifies the documents that you are required to prepare and submit in your evidence portfolio. They may be presented in printed format in a folder or as an electronic copy.

Ensure both your name and student number is clearly displayed.

## Instructions to Assessor

The following benchmarks are supplied for you (the assessor). Please ensure when marking the candidate's work that you adhere to the prescribed benchmarks which are intended as a guide to ensure consistency of assessment.

Project Tasks	Mapping
The following tasks may be completed as a workplace project based on your own organisation and job role, or as a simulated workplace project based on a fictitious organisation, or an organisation you are familiar with.	
<p>1. As a manager developing a risk management plan, you need to assess the likelihood of the risks.</p> <p>Refer to the checklist that you created in Assessment 3 Project, Task 2.</p> <ul style="list-style-type: none"><li>For each risk, identify the likelihood of the risk occurring in a short paragraph, giving reasons for your assessment. Place each risk in one of the following categories.</li></ul> <ul style="list-style-type: none"><li>○ Very likely</li><li>○ Likely</li><li>○ Possible</li><li>○ Unlikely</li><li>○ Rare</li></ul> <p>You are required to provide your assessor with the following document:</p> <ul style="list-style-type: none"><li>A document with the title "<b>Risk Likelihood</b>" containing the above information.</li></ul>	PC 3.1 CAE 1 RS 1-3 ES 3, 5

Has the candidate met the following criteria for Task 1
<p><i>Candidate's responses may vary</i></p> <p>A document with the title "Risk Likelihood".</p> <ul style="list-style-type: none"><li>All risks identified in the previous Task 2 from Assessment 3 Project should be included.</li><li>The likelihood of each risk should be stated in terms of one of the categories shown in the candidate task (above)</li><li>The reasons for the assessment of likelihood should be given in a short paragraph for each risk.</li></ul>

Project Tasks	Mapping
<p>2. As a manager developing a risk management plan, you need to assess the impact or consequence of the risks.</p> <p>Refer to the checklist that you created in Assessment 3 Project, Task 2.</p> <ul style="list-style-type: none"> <li>For each risk, identify the consequence of the risk occurring in a short paragraph, giving reasons for your assessment. Place each risk in one of the following categories. <ul style="list-style-type: none"> <li>Disastrous</li> <li>Severe</li> <li>Moderate impact</li> <li>Minimal impact</li> </ul> </li> </ul> <p>You are required to provide your assessor with the following document:</p> <ul style="list-style-type: none"> <li>A document with the title “<b>Risk Consequences</b>” containing the above information.</li> </ul>	<p>PC 3.2 CAE 1 RS 1-3 ES 3, 5</p>

#### Has the candidate met the following criteria for Task 2

*Candidate's responses may vary*

A document with the title “Risk Consequences”.

- All risks identified in the previous Task 2 from Assessment 3 Project should be included.
- The impact or consequence of each risk should be stated in terms of one of the categories shown in the candidate task (above)
- The reasons for the assessment of consequence should be given in a short paragraph for each risk.



Project Tasks	Mapping
<p>3. As a manager developing a risk management plan, you need to evaluate and prioritise the identified risks for treatment.</p> <p>Refer to the Risk Likelihood and Risk Consequence documents that you completed for Tasks 1 and 2 above.</p> <ul style="list-style-type: none"> <li>Evaluate each of the risks. Explain the following in a short paragraph for each of the risks: <ul style="list-style-type: none"> <li>Whether the risk is acceptable.</li> <li>Whether the risk is not acceptable.</li> <li>The reasons for your decisions.</li> </ul> </li> <li>Summarise your report with a table or list, prioritising all the risks on a scale of 1 to 5, where 1 is highest priority and 5 is the lowest priority for treatment, and placing the list in priority order.</li> </ul> <p>You are required to provide your assessor with the following document:</p> <ul style="list-style-type: none"> <li>A document with the title “<b>Risk Evaluation</b>” containing the above information.</li> </ul>	<p>PC 3.3 CAE 1 RS 1-3 ES 3, 5</p>

Has the candidate met the following criteria for Task 3
<p><i>Candidate's responses may vary</i></p> <p>A document with the title “Risk Evaluation”.</p> <ul style="list-style-type: none"> <li>All risks identified in the previous tasks.</li> <li>A short paragraph for each risk. The paragraph should state the risk evaluation in terms of whether it is acceptable or not, and give reasons for their decision. (Significant safety risks should be identified for treatment.)</li> <li>A summary table or list, prioritising the risks on a scale of 1 to 5, and placed in order for treatment.</li> </ul>

Project Task	Mapping
<p><b>The overall project task:</b></p> <p>Compile all the above documents together. They will be assessed separately and then assessed for overall readability, which includes use of appropriate grammar and punctuation in sentences and paragraphs.</p>	<p>ES 1, 8</p>
<p><b>Has the candidate met the following criteria for the overall project task</b></p> <p>Reports display appropriate readability by using appropriate grammar and punctuation in sentences and paragraphs.</p>	

### **Assessment checklist – Assessor Note**

Please complete the assessment checklist in the Candidate Guide to record the assessment process and outcome.

The checklist contains a declaration by the candidate as follows:

- The purpose and outcomes of the assessment have been explained.
- I have received information about the unit of competency.
- I understand the type of evidence to be collected.
- The appeals system has been explained to me.
- I have notified my assessor of any special needs that may need to be considered during the assessment.

The checklist contains a section for the assessor to record the following:

- Whether RPL / Accelerated progression is required
- Whether Language / Literacy / Numeracy support is required
- Any other special needs

## Assessment 5: Project

*The following instructions have been provided to the candidate.*

### Instructions to Candidate

This activity is related to the unit of competency **BSBRSK501A: Manage risk**. In particular, you will be required to demonstrate your skills and knowledge in relation to this unit of competency.

You may refer to your training materials and other research if required. The activity may be completed in the workplace or a simulated workplace.

Your assessor will use a checklist to record the assessment decision.

### Overview

Below are a number of practical tasks to be completed over a period of time in a real or simulated workplace where you will perform the duties of a **manager**. The times for completion of the tasks are to be negotiated between yourself and the assessor. The tasks will reflect your ability to:

Project: Develop an action plan for implementing and reviewing risk treatment.

Your assessor will provide you with instructions and complete a checklist on which they will record your satisfactory performance of workplace tasks.

The Project Tasks table below identifies the documents that you are required to prepare and submit in your evidence portfolio. They may be presented in printed format in a folder or as an electronic copy.

Ensure both your name and student number is clearly displayed.

## Instructions to Assessor

The following benchmarks are supplied for you (the assessor). Please ensure when marking the candidate's work that you adhere to the prescribed benchmarks which are intended as a guide to ensure consistency of assessment.

Project Tasks	Mapping
The following tasks may be completed as a workplace project based on your own organisation and job role, or as a simulated workplace project based on a fictitious organisation, or an organisation you are familiar with.	
<p>1. As a manager developing a risk management plan for a project, you need to identify options for risk treatment and select the most appropriate option for treating each risk.</p> <p>Refer to the Risk Evaluation document that you completed for Assessment 4 Project, Task 3.</p> <ul style="list-style-type: none"><li>• Select the first 3 risks on your priority list summary at the end of Task 3.</li><li>• For each risk, describe at least 2 ways that you could treat the risk in a short paragraph.</li><li>• Select the best option from the risk treatments that you identified and explain in a short paragraph why you selected this option.</li></ul> <p>You are required to provide your assessor with the following document:</p> <ul style="list-style-type: none"><li>• A document with the title <b>"Risk Treatment Options"</b> containing the above information.</li></ul>	PC 4.1 CAE 1 RS 1-3 ES 3, 5

Has the candidate met the following criteria for Task 1
<p><i>Candidate's responses may vary</i></p> <p>A document with the title "Risk Treatment Options".</p> <ul style="list-style-type: none"><li>• The document should be based upon the Risk Evaluation that the candidate completed in Task 3 of Assessment 4: Project.</li><li>• Three risks should be listed.</li><li>• Each risk should have at least 2 risk treatment options explained. The risks and options for treatment will vary depending upon the project that the candidate has selected.</li><li>• The best option for treatment should be identified and the selection justified in a short paragraph.</li></ul>

Project Tasks	Mapping
<p>2. As a manager developing an implementation process for your risk management plan, you need to design an action plan for implementing the risk treatment options selected.</p> <p>Refer to the 3 Risk Treatment Options that you selected in Task 1.</p> <ul style="list-style-type: none"> <li>Design an action plan for implementing each of the 3 risk treatment options.</li> <li>Your plan should be in 3 parts, one part for each of the risk treatment options.</li> <li>Each part should contain: <ul style="list-style-type: none"> <li>A summary of the risk, its likelihood, consequences and risk priority.</li> <li>A summary of the selected risk treatment option.</li> <li>A task list for implementing the risk treatment, with each task allocated to an individual or group (eg the project manager, project administrator, team members, other organisational personnel or external contractors or experts).</li> <li>A timeline for the tasks or a deadline for their completion.</li> <li>The resources and/or budget required.</li> <li>Relevant parties that you would need to communicate with, and how you would communicate the action plan to them.</li> <li>The documentation or records that you will need to complete, record and/or store.</li> </ul> </li> </ul> <p>You are required to provide your assessor with the following document:</p> <ul style="list-style-type: none"> <li>A document with the title <b>“Risk Treatment Implementation Plan”</b> containing the above information.</li> </ul>	<p>PC 4.2-4.4 CAE 1-2 RS 1-3 ES 5, 7</p>

Has the candidate met the following criteria for Task 2
<p><i>Candidate's responses may vary</i></p> <p>A document with the title “Risk Treatment Implementation Plan”.</p> <ul style="list-style-type: none"> <li>The action plan should provide an implementation plan for treating the 3 risks that the candidate identified as highest priority, using the preferred risk treatments that they identified in Task 1.</li> <li>The document should be in 3 sections - three individual risk treatment implementation plans.</li> <li>Each section should follow the structure shown in the candidate Task 2 instructions. The information can be presented as short bullet points or sentences, or in a table format.</li> </ul>

Project Tasks	Mapping
<p>3. As a manager implementing a risk management process, you need to develop a procedure for monitoring and review of the risk treatment plan.</p> <p>Refer to the Risk Treatment Implementation Plan you developed in Task 2.</p> <ul style="list-style-type: none"> <li>Design a procedure for monitoring each risk treatment plan throughout the implementation phase. Include the following: <ul style="list-style-type: none"> <li>Performance measures – how will you know the implementation is successful?</li> <li>Timeframes for assessment – at what points during the implementation process will you measure performance?</li> <li>Monitoring methods – what methods will you use to compare actual progress with the identified performance measures?</li> <li>Recording methods – what methods or tools will you use to record progress against the performance measures?</li> </ul> </li> </ul> <p>Note that you may need 3 different sections in your monitoring plan, for each of the 3 risk treatment implementation plans, or you may be able to consolidate this document into a single monitoring plan. This will depend upon whether the performance measures are separate or can be consolidated.</p> <ul style="list-style-type: none"> <li>Design a checklist for reviewing the risk treatment plan. Include the following: <ul style="list-style-type: none"> <li>Identify the stakeholders who will be involved in the review.</li> <li>Identify the methods for review. Examples may be: <ul style="list-style-type: none"> <li>Questionnaires</li> <li>Interviews</li> <li>Review of documentation</li> <li>Focus groups</li> <li>Team meetings</li> </ul> </li> <li>List the questions that you would ask in your review.</li> </ul> </li> </ul> <p>You are required to provide your assessor with the following document:</p> <ul style="list-style-type: none"> <li>A document with the title “<b>Monitoring and Review</b>” containing the above information.</li> </ul>	<p>PC 4.5-4.6 CAE 2 RS 1-3 ES 2, 4-7</p>

### Has the candidate met the following criteria for Task 3

*Candidate's responses may vary*

A document with the title “Monitoring and Review”.

- The monitoring process should identify at least one performance measure. This should realistically identify a method of tracking and evaluating progress and/or outcomes, based on the candidate's project and their risk treatment plan.
- The performance measure should be stated as a “measurable outcome”, and the candidate should identify the methods they will use to measure the outcome. Examples may be progress towards completion at a specified time or measurement of qualitative outcomes such as risks prevented or minimized.
- The evaluation process should identify stakeholders involved in the review, and this should include the project manager and the project team.
- Wording of questions for the review should promote the outcome of “lessons learned”.

Project Task	Mapping
<p><b>The overall project task:</b></p> <p>Compile all the above documents together. They will be assessed separately and then assessed for overall readability, which includes use of appropriate grammar and punctuation in sentences and paragraphs.</p>	ES 1, 8
<p><b>Has the candidate met the following criteria for the overall project task</b></p> <p>Reports display appropriate readability by using appropriate grammar and punctuation in sentences and paragraphs.</p>	

### Assessment checklist – Assessor Note

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- I understand the type of evidence to be collected.
- The appeals system has been explained to me.
- I have notified my assessor of any special needs that may need to be considered during the assessment.

The checklist contains a section for the assessor to record the following:

- Whether RPL / Accelerated progression is required
- Whether Language / Literacy / Numeracy support is required
- Any other special needs