

BSBOPS504

**Manage Business Risk**

**Assessment 2 of 2**

Case Study and Tasks

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**Assessment Details**

*This section is for SUT VE Quality and Compliance review and feedback and must be deleted in the student version of the assessment.*

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| **SECTION 1** |
| UNIT OF COMPETENCY DETAILS  |
| Code | Title |
| BSBOPS504 | Manage Business Risk  |
| COURSE AND MODULE DETAILS*Assessments may be published in more than one course. Add lines for additional courses as needed.* |
| Course Code (UPed) | Module Number (Order) | Module Code (UPed) |
| BSB50420 | 12 |  |
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|  |  |  |
| ASSESSMENT TYPE |
| **Assessment Method:** *Select all that apply.* | Choose an item.Choose an item.Choose an item. |

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| **SECTION 2** |
| STUDENT INSTRUCTIONS*The following instructions detail the requirements of the assessment and are captured in the LMS assessment page. This includes a description of the student instructions, associated files and submission instructions.* |
| **Student instructions** |
| This is assessment 2 of 2 assessments for BSBOPS504 Manage Business Risk. This assessment requires you to read seven (7) Case Studies and complete the associated tasks to test your knowledge/understanding/skills required of this unit.To be assessed as competent, you must complete all tasks in the spaces required.You are required to download your assessment by clicking on the assessment document icon below (see Let’s begin) and upload your completed assessment for submission. |
| **Supporting documents** |
| To answer some of the questions, you will need to access the following documents:* CBSA Business Plan
* CBSA Risk Management Plan
* CBSA Risk Management Register
 |
| **Files for submission** |
| Submit the assessment document with all tasks completed in the spaces provided.Submit the following files:* Assessment document
* Role Play Videos
* CBSA Document Risk Management Register
 |
| **Submission instructions** |
| **Video and Audio Submissions**You may be requested to record an audio or video file for your assessment. You have the option to record directly into your assessment via this page, using the record button from the menu. The feature will provide you with an opportunity to review your recording and redo it as many times as needed, prior to submitting it.**PDF File Submissions****Please save all Word documents as PDF files before submitting.****IMPORTANT**: Word documents will **not** be accepted. Most modern web browsers can open and display a PDF file. If you have an older operating system, however, you may need a PDF reader installed on your device such as the Acrobat Reader, available from Adobe.*Windows: Word 2013 and newer*Choose **File** > **Export** > **Create PDF/XPS**.*Windows: Word 2010*1. Click the **File** tab
2. Click **Save As**
* To see the Save As dialog box in Word 2013 and Word 2016, you have to choose a location and folder
1. In the **File Name** box, enter a name for the file, if you haven't already
2. In the **Save** as type list, click **PDF** (\*.pdf).
* If you want the file to open in the selected format after saving, select the Open file after publishing check box.
* If the document requires high print quality, click Standard (publishing online and printing).
* If the file size is more important than print quality, click Minimum size (publishing online).
1. Click **Options** to set the page to be printed, to choose whether markup should be printed, and to select output options. Click **OK** when finished.
2. Click **Save**.

*macOS: Office for Mac*To save your file as a PDF in Office for Mac follow these easy steps:1. Click the **File**
2. Click **Save As**
3. Click **File Format** towards the bottom of the window
4. Select **PDF** from the list of available file formats
5. Give your file a name, if it doesn't already have one, then click **Export**

For more detailed instructions refer to Microsoft Support. |

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| **SECTION 3** |
| ASSESSMENT TASK CRITERIA AND OUTCOME |
| This assessment will be graded as Satisfactory (S) or Unsatisfactory (US).To achieve Satisfactory; valid, sufficient, authentic, and current evidence of meeting the criteria must be submitted.Refer to the mapping spreadsheet for details for this unit. |

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| SECTION 4 |
| ASSESSMENT DETAILS*Please refer to SECTION 2 to confirm how the assessment tools will be built and the methods that will be used to collect evidence i.e., Student’s will type answers directly into LMS or will upload of files of completed assessment tasks.**The STUDENT INSTRUCTIONS above will be added directly into the LMS.* *All associated files will be accessed via the LMS, as will any Assessor Guides, Matrix, Templates etc.* *Students and Assessors have restricted permissions in the LMS. Assessor Guides, including model answers, will be available to Assessors ONLY.* |
| The following pages contain the draft assessment which will be built into the LMS once reviewed. This includes:[ ]  Instructions to students[ ]  Questions /tasks[ ]  Templates /tables where applicable[ ]  Links to supporting files /websites [ ]  Instructions to assessors[ ]  Sample answers /examples of benchmark answers |

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| **SECTION 5** |
| STAKEHOLDERS AND SIGN OFF*List all that apply for each of the stakeholder roles below.* |

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| --- | --- |
| UPed Learning Designer/Author name |  |
| SOE Quality and Compliance Manager name |  |
| SUT VE Quality Compliance name |  |
| Date approved |  |

**Assessment Instructions**

**Task overview**

This assessment task is divided into seven (7) Case Studies with associated tasks to complete. Read each question carefully before typing your response in the space provided.

**Additional resources and supporting documents**

To complete this assessment, you will need:

* CBSA Resource
* CBSA Intranet website

**Assessment Information**

**Submission**

You are entitled to three (3) attempts to complete this assessment satisfactorily. Incomplete assessments will not be marked and will count as one of your three attempts.

All questions must be responded to correctly to be assessed as satisfactory for this assessment.

Answers must be typed into the space provided and submitted electronically via the LMS. Hand-written assessments will not be accepted unless previously arranged with your assessor.

**Reasonable adjustment**

Students may request a reasonable adjustment for assessment tasks.

Reasonable adjustment usually involves varying:

* the processes for conducting the assessment (e.g. allowing additional time)
* the evidence gathering techniques (e.g. oral rather than written questioning, use of a scribe, modifications to equipment)

However, the evidence collected must allow the student to demonstrate all requirements of the unit.

Refer to the Student Handbook or contact your Trainer for further information.

 Please consider the environment before printing this assessment.

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|  | The following assessment tasks use a simulated business called Complete Business Solutions Australia (CBSA). To complete the assessment tasks, students will need to access information, templates, policies and procedures associated with CBSA. These documents can be accessed on CBSA’s intranet accessible via the website. To access; head to[*www.cbsa.com.au*](http://www.cbsa.com.au)*,* |

**Case Study A: Identify Risks**

To begin this task please read the following email and its attachment, then complete the tasks that are associated with this case study.

To begin this part, read the following email and its attachment, then complete the tasks that follow:

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|  |
|  | To  | Jason Yee (jason.yee@cbsa.com.au) |
| From | Steve Alfonso (steve.alfonso@cbsa.com.au) |
| Date/ Time | Monday 3:03 p.m. |
| Subject | Risk Identification Consultation |
| Attachment |  |
| Good morning Jason,Thanks for leading the consultation session the other day.I would now like you to identify three possible risks to this project. You are to research what risks might be applicable to the scope statement you have developed and document these risks in the FM013 Risk Management Register. You should assign a sequentially unique ID number for each risk using a format of your choice, the name of the risk, and a brief risk description.Once you have identified three risks, I would like you to consult with representatives of our internal and external customers again so that you can present your identified risks, and to brainstorm to see if further risks can be identified. If they are, you should add these to the FM013 Risk Management Register.Kind regards, |
| Steve Alfonso Training Manager300 Fictional Way, Sydney, NSW 2000Phone: 1800 111 222[www.cbsa.com.au](http://www.cbsa.com.au) |  |

Task 1: Identify Risks- Consultation Session- Role Play

Based on the email, you are to complete the following task:

First to complete the FM013 Risk Register document that is located on the assessment landing screen. Once you have completed that you will need to present your findings at the Stakeholder Consultation meeting (Role Play). Make sure you upload this document with your assessment.

Next, you are to lead the stakeholder consultation with a representation of the stakeholders. You will be undertaking the consultation session to at least three attendees: Steve Alfonso and two further attendees (one an internal customer and the other an external customer). Both will be role-played by assessors/students.

|  |
| --- |
| 1. During the consultation session, your Assessor will be looking to see that you can:
* verbally lead the consultation session communicating the risks that you have documented in the FM013 Risk Management Register
* use questioning and listening skills to prompt attendees for further risks that might be applicable to the project/scope statement
* use negotiation skills to agree on any changes to the FM013 Risk Management Register
* confirm the attendee’s understanding of any agreed-upon changes to the FM013 Risk Management Register
* Discuss potential risks that were identified in the previous role play, identifying solutions and getting agreement with potential risks and solutions
 |

**Role play instructions**

The role play/meeting must include at least number 3 participant/s, must not exceed 10 minutes duration and must address all elements of the Observation Checklist below.

In this task you will participate in a role/play meeting with others. These may be resourced using one of the following options:

1. Peer/s who you are already working with, in the industry your qualification relates to.
2. Fellow student/s who will play the role of a team member. Please contact your fellow student/s via the Discussion Forum and coordinate your role play with them directly.

If you are unable to find a participant/s to play the role of the other team member/s, contact your assessor via the Discussion Forum who will discuss options for pairing up with another student/s to complete this task.

**Option 1: Peer/s participant**

Should you complete this task with your Peer/s, you must fully brief all participant/s, providing them with the context to the role play/meeting, a role outline to play and a copy of the observation checklist so that they can prepare for the recording.

Peer/s will need to state their name and job title at the start of the recording to inform consent.

**Option 2: Fellow student/s participant**

Fellow student/s participating in the recording must be provided with context to their role and responsibilities in the session and have reviewed the assessment activity and observation checklist so that they can prepare for the recording.

Student/s will need to state their name and that they are a student (as their job title) at the start of the recording to inform consent.

**Character Instructions**

In the role play previously there was the following characters Gavin Stead, Steve Alfonso and a VIP Client. Below is the table of the risks these characters previously presented in the role play.

|  |  |
| --- | --- |
| Gavin Stead  | * Cost and time relating to the office refit (cost and time)
 |
| Steve Alfonso | * With the training room set up depending on the office refit to make space with the training room, are we are to make a sufficient space to make a great and effective training room (size)
 |
| VIP Client  | * Costs involved relating to HR and procurement for staff hiring and training, the cost of hiring, cost and time to get the staff and upskill them
 |

During the role play you will be asked to discuss the following things with the presentee.

* use negotiation skills to agree on any changes to the FM013 Risk Management Register
* confirm the attendee’s understanding of any agreed-upon changes to the FM013 Risk Management Register

Please find below the talking points that your character will be required to discuss during the role play.

|  |  |
| --- | --- |
| Gavin Stead  | Description of Risk * Cost: What will be the impact of cost if the refit goes above the budget?
 |
| Steve Alfonso | Potential Risks and Likelihood * Training Room: If cost and space is a factor, what are some of the potential risks that might occur
 |
| VIP Client  | Control and mitigation measures* HR Procurement: How can we keep the costs of recruitment down? What are some potential strategies we can implement to help this with the overall project
 |

**Recording instructions**

Your role play must be recorded with all participant/s captured in a virtual room using a system such as Zoom, Skype or Teams.

Consent to participate in the recording must be captured for all participant/s at the start of the meeting. This is achieved by the student reading the following statement at the start of the recording, with all participants replying their name and job title to inform consent.

*“This session/presentation is being recorded for assessment purposes for my course with Swinburne Open Education. This session will be recorded and submitted through my course online learning platform to my Assessor for grading. All participant/s in this session indicate their consent to be included in this recording by stating their name and job title."*

The time taken to capture consent at the start of the recording does not count towards the recording time limit.

Include this recording as part of your assessment submission.

Assessor Instructions

Purpose of the task

This part is designed to ensure that the student can lead a consultation session with internal and external customers to identify any risks for the project.

Guidance to assessors about this task

The Assessor is to organise a time for the student to undertake the consultation session. This session can be undertaken in person or via video-conferencing software.

The Assessor will play the role of the project manager (Steve Alfonso) for the purpose of this assessment. Two additional Assessor (s) or students should play the role of additional stakeholders. The group size should be no less than three stakeholders.

Use the following checklist to ensure that the student has followed the selection processes they have developed:

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| **Consultation Session** |
| Student must verbally lead the consultation session communicating the documented risks in the FM013 Risk Management Register |
| Student must utilise questioning and listening skills to prompt attendees for further risks that might be applicable to the project/scope statement.The stakeholders should specify at least two further risks on top of the three that the student has provided. A list of some possible risks has been provided below which can be used as a reference. The Assessor should provide two further risks when prompted by the student which can then be discussed and agreed upon. The list of some possible risks includes:* office refit is delayed, under-costed, or similar
* computer system implementation is delayed, under-costed, or similar
* computer system not integrated correctly
* computer system quality assurance returning poor results
* unable to find two new employees within the project time frame
* new employees are not capable enough once inducted
* training program design issues
* training program schedule issues
* key staff member leaving during the project
* cost over-runs or scope creep with the project schedule
* low client pick-up when training facilities become available.

Accept any other reasonable business risks to the project not given in the above list where the student should have five identified risks. |
| Student must utilise negotiation skills to agree on any changes to the FM013 Risk Management Register. |
| Student must confirm the attendee’s understanding of any agreed-upon changes to the FM013 Risk Management Register. |

Please find below examples of potential answers the student will provide during the role play.

|  |  |  |
| --- | --- | --- |
| Gavin Stead  | Description of Risk * Cost: What will be the impact of cost if the refit goes above the budget?
 | The student: * We will be monitoring the cost and budget throughout the project. If there is an issue or any impacts that can affect the project. Stakeholders will be contacted immediately.
 |
| Steve Alfonso | Potential Risks and Likelihood * Training Room: If cost and space is a factor, what are some of the potential risks that might occur
 | The student: * When we are monitoring the cost and budget, we will need to look at potential impacts on the training room, this can include design, layout, size and equipment. When required stakeholders will be alerted and spoken to.
 |
| VIP Client  | Control and mitigation measures* HR Procurement: How can we keep the costs of recruitment down? What are some potential strategies we can implement to help this with the overall project
 | The student: * With the costs, of recruitment we need to take into consideration wages, cost of advertising, what are the qualification requirements we need
 |

Observation Checklist

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| --- | --- | --- | --- |
| **Observation**  | **S** | **NYS** | **Comments**  |
| 1. The student invited the stakeholders to discuss the identification of risks and potential solutions
 | ☐ | ☐ | The student: * Invites a response from the stakeholders during the role play looking at the risks and potential solutions
 |
| 1. The student has demonstrated research to identified risks that may apply to the project
 | ☐ | ☐ | The student: * The student has demonstrated they have researched and read the FM013 Risk Management Register. The student will need to discuss the following:
* Risk
* Description of Risk
* Potential Consequences/ likelihood
* Risk Rating Level
* Control and Mitigation Measures
* Risk Status
 |
| 1. The student has documented the risks identified in consultation with all relevant stakeholders
 | ☐ | ☐ | The student: * The student has addressed all the risks identified and spoken with the stakeholders in the meeting.
 |
| 1. The student has demonstrated that they have gathered, interprets and analyses textual information from sources of relevant information
 | ☐ | ☐ | The student: * The student has demonstrated how they have read and used the FM013 Risk Management Register document. The student has explained the information used as the CBSA Scope Statement, Stakeholder Map & Analysis and SWOT and PESTLE analysis.
 |
| 1. The student participates in an interaction with stakeholders using questioning and listening to opinions and clarifying understanding
 | ☐ | ☐ | The student: * The student in the role play asks questions and feedback from the stakeholders and converses in conversation.
 |
| 1. The student has demonstrated using appropriate protocols when communicating with stakeholders about risk management and negotiating about processes and outcomes
 | ☐ | ☐ | The student: * The student uses a clear and respectful tone when addressing everyone. The student leads/ drives the role play. The student demonstrates negotiating with the stakeholders.
 |
| 1. The student refers to CBSA organisational processes and procedures
 | ☐ | ☐ | The student: * The student references or demonstrates the CBSA organisational processes and procedures
 |

Assessor Instructions- Risk Register

As part of the assessment the student needs to download the FM013 Risk Register which can be found on the assessment landing page.



The student is required to fill out this form and identify three (3) risks and then present it in the role play. The student must complete all sections in the Risk Management Register. This includes

* Giving the Risk a Risk ID
* Labelling the Risk
* Providing a description of the risk

Please see an example below.



**Case Study B: Undertake Risk Assessment Activities**

To begin this part, read the following email and its attachment, then complete the tasks that follow:

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|  |
| A person in a blue shirt  Description automatically generated | To  | Jason Yee (jason.yee@cbsa.com.au) |
| From | Steve Alfonso (steve.alfonso@cbsa.com.au) |
| Date/ Time | Tuesday 9:59am. |
| Subject | Risk Assessment  |
| Attachment |  |
| Good morning Jason,Thanks for identifying potential risks to the training facilities project in consultation with internal and external customers.Are you now able to undertake a risk assessment for each of the identified risks using the IM009 Risk Management Policy & Procedures as a guide? For each risk in the FM013 Risk Management Register, you will need to:* assess and document the potential consequences and likelihood for each risk
* assess and document the risk rating using the risk rating matrix based on the potential consequences and likelihood for each risk
* document the date when you determined the risk rating for each risk.

Kind regards, |
| Steve Alfonso Training Manager300 Fictional Way, Sydney, NSW 2000Phone: 1800 111 222[www.cbsa.com.au](http://www.cbsa.com.au) | A logo with text on it  Description automatically generated |

Task 2: Identify Risks- Risk Management Register

Based on the email, you are to undertake a risk assessment of the risks you have previously identified in the FM013 Risk Management Register. For each risk you need to:

* assess and document the potential consequences and likelihood for each risk
* assess and document the risk rating using the Risk Rating Matrix based on the potential consequences and likelihood for each risk
* document the date when you determined the risk rating for each risk

Assessor Instructions

Purpose of the task

This part is designed to ensure that the student can undertake a risk assessment of the identified risks using organisational policies and procedures.

Guidance to assessors about this task

Use the following checklists to ensure that the student has undertaken a risk assessment for each of the risks sufficiently:

Approximate Word Count- 30-50 words throughout the table

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
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| Risk Management Register

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| --- | --- | --- | --- |
| Identified Risk  | Potential Consequence and Likelihood of the Risk | Risk Rating Matrix  | Date determining the risk rating |
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| **Risk Management Register** |
| Student must assess and document the consequences and likelihood for each risk using the categories documented in the IM009 Risk Management Policy & Procedures:Consequences:* Insignificant
* Minor
* Moderate
* Major
* Catastrophic.

Likelihood:* Rare
* Unlikely
* Possible
* Likely
* Almost certain.
 |
| Student must assess and document a risk rating for each risk using the Risk Rating Matrix provided in the IM009 Risk Management Policy & Procedures:* Critical
* High
* Moderate
* Low
* Very Low
 |
| Student must document the date that they assessed each risk. |

**Case Study C: Develop a plan to treat risks**

To begin this part, read the following email and its attachment, then complete the tasks that follow:

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|  |
| A person in a blue shirt  Description automatically generated | To  | Jason Yee (jason.yee@cbsa.com.au) |
| From | Steve Alfonso (steve.alfonso@cbsa.com.au) |
| Date/ Time | Wednesday 4:18 p.m. |
| Subject | Treat Risks |
| Attachment | Action Plan Template.docx |
| Good afternoon Jason,Thanks for undertaking the risk assessment for each of the identified risks.Now you will need to:* determine and select the most appropriate option(s) for treating each risk and document this in the FM013 Risk Management Register
* evaluate and prioritise the risks for treatment and then create an Action Plan based on this priority using the attached template so that each of the treatments can be implemented.
* Once you have completed the Action Plan table, you need to evaluate the risk and prioritise the risk. To identify the risk you need to give it a rating of Critical, High, Moderate, Low and Very Low.

Can you please submit the updated FM013 Risk Management Register and Action Plan to me for review once you have completed them?Underneath the table, can you please provide an explanation on how you evaluated and prioritised the risks in the action plan. Kind regards |
| Steve Alfonso Training Manager300 Fictional Way, Sydney, NSW 2000Phone: 1800 111 222[www.cbsa.com.au](http://www.cbsa.com.au) | A logo with text on it  Description automatically generated |

**Attachment: Action Plan Template**

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
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| Action Plan

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| --- | --- | --- | --- | --- |
| Action | Responsibility | Date | Status | Priority  |
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Task 3: Action Plan

Based on the email and the attached template you are to:

1. Determine and select an appropriate treatment/mitigation for each identified risk. The treatment/mitigation that is most relevant will be dependent on what the risk is. For example, suppose a risk is ‘scope creep for the office refit milestone’. In that case, an appropriate mitigation strategy might be to have someone undertake daily monitoring of progress to try and ensure that scope creep doesn’t occur. If the risk is ‘low client usage of the training facilities’ then a mitigation strategy might be to run a marketing campaign aimed at the organisation’s clients to try and mitigate this risk from occurring.
2. After you have determined appropriate treatment/mitigation for each identified risk, you should evaluate and prioritise these, then develop an Action Plan to ensure that treatments/mitigations are planned.

For each action, you must:

* specify the action that is to occur
* specify who will be responsible for implementing the action
* specify when the action needs to be completed by
* the status of the action
* giving the action a priority rating

Assessor Instructions

Purpose of the task

This part is designed to ensure that the student can assess and evaluate potential treatments for each risk, and to develop an action plan to ensure they are implemented.

Guidance to assessors about this task

Use the following checklist to ensure that the student has drafted an email sufficiently:

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| **Risk treatment** |
| Student must specify a sufficient treatment/mitigation strategy for each identified risk in the Risk Management Register. |
| Student must develop an Action Plan using the given template. |
| Student must provide at least one action for each treatment/mitigation strategy for each risk where they have:* specified what the action is
* specified who will be responsible for implementing the action
* specified when the due date is.
 |
| The version control for the modified FM013 Risk Management Register must be greater than the last version of the same document. |
| Risk Priority * Critical
* High
* Moderate
* Low
* Very Low
 |
| *Please explain in the space provided below how do you evaluate and prioritise risks in the action plan?*

|  |
| --- |
| *When looking at how to evaluate and prioritise risks in an action plan you need to look at the level of risk scale. The scale will determine the likelihood of the risk occurring and looking at the impact if that risk occurs. The higher the classification of risk, the higher the priority to deal with it and reduce the risk and its impact.*  |

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Approximate Word Count- 35-50 words throughout the table.

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| Action Plan

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| --- | --- | --- | --- | --- |
| Action | Responsibility | Date | Status | Priority  |
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Please explain in the space provided belowhow do you evaluate and prioritise risks in the action plan?

Approximate Word Count- 50-80 words.

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**Case Study D: Plan and implement the Action Plan**

To begin this part, read the following email and its attachment, then complete the tasks that follow:

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| A person in a blue shirt  Description automatically generated | To  | Jason Yee (jason.yee@cbsa.com.au) |
| From | Steve Alfonso (steve.alfonso@cbsa.com.au) |
| Date/ Time | Friday 11:25 a.m. |
| Subject | Plan to Implement the Action Plan  |
| Attachment |  |
| Good morning Jason,1. The Action Plan recommended for the treatment measures/mitigation strategies looks good. I think this is ready for you to implement.
2. Before you start, please develop an Implementation Plan for the five actions you have listed. In the plan, list the following:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Action for treatment of risk | Plan/tasks to implement the action | When (note any dependencies or triggers) | Resources required | Responsibility |
|  |  |  |  |  |
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When you have the Implementation Plan ready, please organise a meeting with me to discuss.Kind regards, |
| Steve Alfonso Training Manager300 Fictional Way, Sydney, NSW 2000Phone: 1800 111 222[www.cbsa.com.au](http://www.cbsa.com.au) |  |

Task 4: Email- Implementation Plan

Based on the email, you are to develop an Implementation Plan to show you understand what is required to implement the actions in the Action Plan and FM013 Risk Management Register.

Send an email to Steve with the Implementation Plan attached, requesting a meeting to discuss. Use the organisation’s TM001 Email Template and ensure that you:

* specify who the email is to
* specify who the email is from
* specify the date and time you sent the email
* specify the subject
* detail the Implementation Plan, either as a table within the email or as an attachment to the email
* include an email body detailing the purpose of the email, reference to the Implementation Plan and a request to meet with Steve to discuss the plan
* complete the email footer specifying the job position you are role-playing.

Assessor Instructions

Purpose of the task

This part is designed to ensure that the student can plan for or detail the steps required to implement the Actions identified in the Action Plan, against the risks identified in the FM013 Risk Management Register.

Guidance to assessors about this task

Use the following checklist to ensure that the student has completed the Implementation Plan and drafted the email correctly.

|  |
| --- |
| **Implementation Plan** |
| Student must specify the five Actions from the Action Plan. |
| Student must:* list logical steps to implement each action eg. approval required, forms to be completed, follow a documented policy or procedure, organise a meeting, book a room, book equipment, recruit a person/consultant, obtain resources, etc. Note: There should be more than one step/task in the second column of the table, for each Action. The column should document the steps required to the implement the action – not the action.
* state when the tasks/steps should be done – this might be dependent on another task being completed, a ‘what if’ trigger, a failure or a success, or it could be a date/time prior to an event.
* allocate a resource to each action and or task
* assign a person responsible for the action
 |
| **Email Requirements** |
| Student must use the TM001 Email Template. |
| Student must specify who the email is to (Steve Alfonso). |
| Student must specify who the email is from (Jason Yee). |
| Student must specify the date and time they sent the email. |
| Student must specify a relevant subject (Implementation Plan or similar). |
| Student must specify the body of the email a reference to the Implementation Plan and where it is (either embedded in the email or attached to the email). |
| Student must complete the email footer specifying the job position they are role-playing (Governance Manager). |

Email Template

Approximate Word Count- 35-50 words

|  |
| --- |
|  |
|  | To  |  |
| From |  |
| Date/ Time |  |
| Subject |  |
| Attachment |  |
| Kind regards, |
| Signature |  |

**Case Study E: Actioning the Implementation Plan**

To begin this part, read the following email and its attachment, then complete the tasks that follow:

|  |
| --- |
|  |
| A person in a blue shirt  Description automatically generated | To  | Jason Yee (jason.yee@cbsa.com.au) |
| From | Steve Alfonso (steve.alfonso@cbsa.com.au) |
| Date/ Time | Tuesday 2:30 p.m. |
| Subject | Actioning the Implementation Plan |
| Attachment |  |
| Good morning Jason,Thank you for sending through the Implementation Plan. It is looking good. I have reviewed the Implementation Plan and I approve it. Next we need to now implement the Implementation Plan. Out of the five action items, I need to commence by allocating three (3) of the items and send emails out to the people that need to action the tasks. The allocation will be based on who you had identified in the action plan in case study c. Can I get you to do the following: * Send emails out to the key stakeholders who will be actioning the implementation plan action items
* Allocate the roles and tasks that they will need to complete the tasks associated with the implementation plan
* Identify potential risks that they will need to manage and observe
* Provide them information about the risk management plan
* The allocated time frame

Kind regards, |
| Steve Alfonso Training Manager300 Fictional Way, Sydney, NSW 2000Phone: 1800 111 222[www.cbsa.com.au](http://www.cbsa.com.au) | A logo with text on it  Description automatically generated |

Task 5: Email- Implementation Plan emails to staff

Based on the email, you are to action the Implementation Plan. You are required to send out an email to the staff that have been allocated to assisting the Implementation Plan

Use the organisation’s TM001 Email Template and ensure that you:

* Send emails out to the key stakeholders who will be actioning the implementation plan action items
* Allocate the roles and tasks that they will need to complete the tasks associated with the implementation plan
* Identify potential risks that they will need to manage and observe
* Provide them information about the risk management plan
* The allocated time frame

Email Template 1

Approximate Word Count- 50-100 words

|  |
| --- |
|  |
|  | To  |  |
| From |  |
| Date/ Time |  |
| Subject |  |
| Attachment |  |
| Kind regards, |
| Signature | A logo with text on it  Description automatically generated |

Email Template 2

Approximate Word Count- 50-100 words

|  |
| --- |
|  |
|  | To  |  |
| From |  |
| Date/ Time |  |
| Subject |  |
| Attachment |  |
| Kind regards, |
| Signature | A logo with text on it  Description automatically generated |

Email Template 3

Approximate Word Count- 50-100 words

|  |
| --- |
|  |
|  | To  |  |
| From |  |
| Date/ Time |  |
| Subject |  |
| Attachment |  |
| Kind regards, |
| Signature | A logo with text on it  Description automatically generated |

Assessor Instructions

Purpose of the task

The student is to action the Implementation Plan and set out to putting it into action. The student is required to send emails out to the staff members about their role in the project, what they need to do and what they need to look out for in risk management.

Guidance to assessors about this task

Student’s answers will vary depending on their action plan and the implementation plan. The emails need to have the following information in them:

|  |
| --- |
| **Email Requirements** |
| Student must use the email template  |
| *Student must* *allocate the roles and tasks that they will need to complete the tasks associated with the implementation plan*  |
| Student must identify potential risks that employees may encounter when actioning items  |
| Student must provide information about the risk management plan |
| Student must give an allocated timeframe for the task to be completed  |

**Case Study F: Monitor Plan**

To begin this part, read the following email and its attachment, then complete the tasks that follow:

|  |
| --- |
|  |
| A person in a blue shirt  Description automatically generated | To  | Jason Yee (jason.yee@cbsa.com.au) |
| From | Steve Alfonso (steve.alfonso@cbsa.com.au) |
| Date/ Time | Monday 9:41 a.m. |
| Subject | Action Plan Implementation Results |
| Attachment |   |
| Good morning Jason,You implemented the Action Plan to manage risks and you have now had the opportunity to monitor each treatment measure’s success/failure. Thank you for sharing the results. It is good to see that the first, second and fourth actions have been completed successfully. However, two actions haven’t been successful so far and more planning is required:* The third action is behind on schedule by two weeks – resources were unavailable for two weeks.
* The fifth action has encountered some difficulties – staff member was not capable of fulfilling the action.

I consider the failure of the third and fifth action to be due to new risks introduced – resource was unavailable and assigned team member was not trained to fulfil the action. Let’s consider these as new risks introduced. Please add these risks to the FM013 Risk Management Register. You will then need to update both the Action Plan and Implementation Plan to make sure the new risks and actions are addressed.Could you please summarise in an email, a summary of what you have done to get those actions back on track to be successful. Attach the updated FM013 Risk Management Register, the updated Action Plan and the updated Implementation Plan. Kind regards, |
| Steve Alfonso Training Manager300 Fictional Way, Sydney, NSW 2000Phone: 1800 111 222[www.cbsa.com.au](http://www.cbsa.com.au) | A logo with blue and yellow hexagons  Description automatically generated |
|  |  |  |  |

Task 6: Email- Implementation Plan

Based on the email, you are to:

* Update the FM013 Risk Management Register with the two new risks that were introduced as a result of the treatment methods.
* Update the Action Plan with your intended actions for the new risks.
* Update the Action Plan with the successful outcomes of the other actions.
* Update the Implementation Plan with the new Actions, Plan/Tasks, When, Resources Required and Responsibility. You can use the table you developed in Part D.
* Capture a screenshot(s) of the electronic folder(s) you used to store all the documents for Task 2, including:
* Earlier versions of the documents
* Showing the naming conventions, you have used to name files
* Showing any sub-folder structures, you have used (not mandatory to use).
* Draft an email to Steve, which uses the organisation’s TM001 Email Template. Ensure that you:
* specify who the email is to
* specify who the email is from
* specify the date and time you sent the email
* specify the subject
* include an email body detailing why you are sending this email, and a summary of what you have done to address the unsuccessful actions
* specify that the updated Action Plan, Implementation Plan and FM013 Risk Management Register are attached
* specify that a screenshot of the folder file structure is attached
* complete the email footer specifying the job position you are role-playing.

Assessor Instructions

Purpose of the task

This part is designed to ensure that the student can complete the process to monitor the Implementation Plan or implementation of the actions to mitigate risk. The task requires the student to update the FM013 Risk Management Register with the new risks introduced, update the Action Plan, as a consequence of the updated FM013 Risk Management Register, and update the Implementation Plan to implement the new actions for the newly-introduced risks.

Guidance to assessors about this task

Use the following checklist to ensure that the student has updated the Action Plan and drafted an email sufficiently. Provide feedback to the student on the updated documents presented.

|  |
| --- |
| **Risk Management Register Requirements** |
| Student must update the FM013 Risk Management Register to add the newly-introduced risks:* 1. What if the scheduled resources are unavailable/delayed when required?
	2. What is the team member assigned to the task isn’t trained/capable/competent to perform the task, or perform the task on time?
1. The student should complete the other columns in the FM013 Risk Management Register, in the same way they completed the columns for the other risks identified earlier.
2. The Risk Register must show a risk rating allocated to each of the new risks.
3. The Version Control in the Risk Register must be greater than the last version submitted.
 |
| **Action Plan** |
| Student must:* update the Action Plan to reflect that Actions 1, 2, and 4 have been completed successfully
* update the Status column in the Action Plan
* add in the two (or more) actions required to address the new risks

Action for new risk 1, might be along the lines of: * Book in/lock in the resource – e.g. access to equipment, a room, etc.; funding for the resource, etc.
* If the resource was an employee, book in/lock personnel to be seconded to the task with their Manager and, if necessary, obtain approval from the project manager or
* Recruit a resource from a labour-hire agency for the duration of the task.

Action for new risk two might be along the lines of: * train team member; or
* develop Quick Reference Guides to guide the assigned team member; or
* select another team member who is capable/competent to perform the task.

The Version Control in the Action Plan must be greater than the last version submitted. |
| **Implementation Plan** |
| The Implementation Plan follows on from the Action Plan. Based on the actions proposed by the student, the student must add the Actions and Plan/Tasks for those new actions and complete the other columns in the Implementation Plan.Plan/tasks might include tasks along the lines of:* Obtaining approval for resource – CFO or MD or HR Manager or IT Manager
* Complete necessary forms to request resource
* Book resource in advance and obtain confirmation
* Book Trainer to train an assigned team member
* Confirm Quick Reference Guides are available
* Check with HR Manager who is trained/competent to perform then task.

The Version Control in the Implementation Plan must be greater than the last version submitted. |
| **Email Requirements** |
| Student must use the TM001 Email Template. |
| Student must specify who the email is to (Steve Alfonso). |
| Student must specify who the email is from (Jason Yee). |
| Student must specify the date and time they sent the email. |
| Student must specify a relevant subject (Updated Risks, Actions and Implementation Plan). |
| Student must specify the body of the email a summary of the actions they have taken since receiving the email from Steve. Refer to the attached updated FM013 Risk Management Register, updated Action Plan and updated Implementation Plan. |
| Students must include a screenshot(s) of the electronic folder/file structure used to store all the documents for Task 2. This might include: * sub-folders or the files could be listed in one suitably-named folder
* document naming should be easily identifiable
* version control should also be easy to identify.
 |
| Student must complete the email footer specifying the job position they are role-playing (Governance Manager). |

**Attachment: Action Plan Template**

Approximate Word Count- 5-25 words each section

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| A logo with text on it  Description automatically generatedAction Plan

|  |  |  |  |
| --- | --- | --- | --- |
| Action | Responsibility | Date | Status |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
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 |

**Attachment: Implementation Plan Template**

Approximate Word Count- 5-25 words each section

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Action for treatment of risk | Plan/tasks to implement the action | When (note any dependencies or triggers) | Resources required | Responsibility |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

**Attachment: Email Template**

Approximate Word Count- 50-80 words

|  |
| --- |
|  |
|  | To  |  |
| From |  |
| Date/ Time |  |
| Subject |  |
| Attachment |  |
| Kind regards, |
| Signature |  |

**Case Study G: Evaluate Risk Processes**

To begin this part, read the following email and its attachment, then complete the tasks that follow:

|  |
| --- |
|  |
| A person in a blue shirt  Description automatically generated | To  | Jason Yee (jason.yee@cbsa.com.au) |
| From | Steve Alfonso (steve.alfonso@cbsa.com.au) |
| Date/ Time | Friday 10:29 a.m. |
| Subject | Lessons Learned Evaluation |
| Attachment |   |
| Good morning Jason,Now that the project has finished successfully, I would like you to review your experiences and document the lessons learned during the implementation of risk management processes, including: * what worked well
* what didn’t work so well – remember to include details about the new risks introduced and the actions you needed to implement to control them
* what improvements could be made to the IM009 Risk Management Policy & Procedures?

Once you have documented the lessons learned, this will be stored on the organisation’s cloud-based system so that it can be referred to for planning of any possible improvements and serves as a record for future reference.Kind regards, |
| Steve Alfonso Training Manager300 Fictional Way, Sydney, NSW 2000Phone: 1800 111 222[www.cbsa.com.au](http://www.cbsa.com.au) | A logo with blue and yellow hexagons  Description automatically generated |
|  |  |  |  |

Task 7: Lesson Learned Document

Based on the email, you are to review your experiences using the IM009 Risk Management Policy & Procedures and associated documents during the assessment tasks, and then use the Lessons Learned Form to document. This document is found on the assessment landing page. Make sure you upload this document with your assessment.

* what worked well
* what didn’t work so well include details about the new risks introduced and the actions you needed to implement to control them
* what improvements could be made to the Risk Management Policy and Procedures?

Assessor Instructions

Purpose of the task

This part is designed to ensure that the student can evaluate lessons learned, including possible improvements for the risk management policy and procedures.

Guidance to assessors about this task

Use the following checklist to ensure that the student has met the minimum requirements for documenting lessons learned sufficiently:

|  |
| --- |
| **Lessons Learned Documentation** |
| Student must use the FM024 Lessons Learned Form template. |
| Student must document what worked well. |
| Student must document what didn’t work so well. The student should reference the two actions that weren’t successful at first due to the new risks introduced as a result of the treatment measures. |
| Student must document at least one recommendation to improve the IM009 Risk Management Policy & Procedures or associated documentation such as the Risk Management Register. This might include a recommendation to add instructions about newly-introduced risks once the recommended Actions have been implemented. |

|  |
| --- |
| Case Study A: Identify Risks  |
| 1  | Identify Risks- Role Play & Risk Register Document (upload document)  | ☐  |
| Case Study B: Undertake Risk Assessment Activities |
| 2 | Identify Risks- Risk Management Register | ☐  |
| Case Study C: Develop a plan to treat risks  |
| 3 | Action Plan | ☐  |
| Case Study D: Plan and implement the Action Plan |
| 4 | Email- Implementation Plan | ☐  |
| Case Study E: Present the Implementation Meeting  |
| 5 | Implementation Plan PresentationImplementation Plan Presentation Recording  | ☐  |
| Case Study F: Monitor Plan  |
| 6 | Email- Implementation Plan | ☐  |
| Case Study G: Evaluate Risk Processes |
| 7 | Lesson Learned Document (upload document)  | ☐  |

****

 **Congratulations you have reached the end of Assessment 2!**

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