

# Learning Assessment Guide

## Unit Standard 18509 – Version 1

**Demonstrate knowledge of the risk management process in the public sector**

**Level 4 – 6 Credits**

<b>Assessment Summary</b>			
<b>Learner to complete</b>			
<b>Learner's name:</b>			
<b>Employer:</b>			
<b>NSN no. (ROL):</b>		<b>DOB:</b>	
<b>Signed:</b>		<b>Date:</b>	
<b>Assessor to complete</b>			
<input type="checkbox"/> Meets requirements <input type="checkbox"/> More training required <input type="checkbox"/> More evidence required			
<b>Assessor's name:</b>		<b>Assessor's No.</b>	
<b>Signed:</b>		<b>Date:</b>	

## Before you begin...

- As well as this Learning Assessment Guide, you may also want to refer to the unit standard from the NZQA website (<http://www.nzqa.govt.nz>).
- Read the Trainee Information Kit. The kit contains important information and guidelines for Learners and can be found on the Learning State website (<http://www.learningstate.govt.nz>) under Learners, then Learning Assessment Guides.
- Check the learning resources available for this unit standard on the Learning State website (<http://www.learningstate.govt.nz>) under Learners, then Learning Assessment Guides.

This Learning Assessment Guide is made up of:

- An outline of the standard and what you are aiming to achieve.
- Tasks for you to complete.
- Assessment Guide
- Declaration form.

As you work through this assessment, you may need to refer to the unit standard. It is important that you comply with this standard, particularly the Special Notes contained in it. A knowledge and understanding of the Australia and New Zealand Standard for Risk Management - ANZ4360: 1999 is required for this unit standard. This can be accessed at [www.standards.co.nz](http://www.standards.co.nz)

The NZ Society for Risk Management provides very useful resources relevant to this assessment. These can be accessed at [www.risksociety.org.nz](http://www.risksociety.org.nz)

The assessment tasks are designed to show your assessor that you can:

- Demonstrate knowledge of the philosophy and concept of risk management in the public sector;
- Describe the risk management process in the public sector in terms of the Australia and New Zealand Standard for Risk Management; and
- Identify elements associated with the assembly of a risk management plan in the public sector in terms of the Australia and New Zealand Standard for Risk Management.

As agreed with your assessor and outlined in the Assessment Plan you should now:

- Complete Assessment Tasks One and Two.
- Complete the Evidence Response and Declaration form and attach it to your evidence
- Return all documentation to your assessor within the agreed timeframe.

Contact your assessor if you have any questions.

You will need to keep a record of the sources you use to prepare your answers to these assessment tasks. A list of these should be attached with your submission. Examples might be reference books, magazines, and specific people.

You may wish to keep a copy of your completed assessment task if you are mailing the original copy to your assessor.

Kia kaha – Good luck

## Assessment Task One

Answer the following questions.

Your assessor may wish to ask further questions to clarify or expand on your responses.

### **Task One Questions**

- 1 Describe the following types of risk that may impact on a public sector organisation. Your description should make use of relevant examples.
  - Failure of a project to meet objectives
  - Client dissatisfaction
  - Bad publicity
  - Mis-management
  - Threats to physical safety
  - Breach of security
  - Equipment failure
  - Fraud
  - Ineffective policies and procedures
  
- 2 Explain the following concepts that underpin risk management.
  - rigour,
  - pro-activeness,
  - responsibility,
  - accountability,
  - balance,
  - decision making.

## Assessment Task Two

### Task Instructions

Answer both questions. Include references to relevant documentation and other sources in your responses.

- 1 Describe the risk management process in the public sector. This may best be done in the context of an example in your organisation with which you are familiar. Your response must include the following.
  - a Explanation of the need to establish the context of a risk issue (context includes strategic, organisation and risk management contexts)
  - b Description of the risk identification stage (including what, when, where, who, how)
  - c Explanation of the risk analysis phase (including existing controls, likelihood of occurrence, potential consequences, estimate of level of risk)
  - d Description of the procedures used to evaluate risk (including estimated level of risk, pre-established criteria, ranking, acceptability, justification)
  - e Explanation of the treatment of risk through specific management plans
  - f Description of procedures that monitor and review risk (including performance, changes, updated profiles).
  - g Explanation of how constant communication and consultation with stakeholders throughout the entire risk management process is managed.
  
- 2 Identify the elements you would consider when compiling a risk management plan as it would apply in a public sector organisation. You may find it useful to compile your answer around an example you are familiar with. Your response must include the following:
  - a Conforming with the Australia and New Zealand Standard for Risk Management.
  - b Explanation of the influences that impact on establishing the context for risk management in the organisation in terms of a risk management plan. Examples of influences must include – political, economic, technical, staffing, financial, client perceptions, operating procedures.
  - c Outline of the process used identify the risks that need to be considered in a risk management plan.
  - d Explanation of the process for analysing and evaluating the influence of identified risks for inclusion in a risk management plan (including acceptable levels, priorities, source, consequences, present controls, accountability).
  - e Definition of the measures that would be used to treat identified risk for inclusion in a risk management plan (including avoidance, reduction, transfer).
  - f Explanation of the process used to monitor and review the risk management plan (including success elements, validity of assumptions, effectiveness of treatments, adequacy of management and accounting controls, compliance with policies and procedures, and improvements).
  - g Description of the strategy that is developed for communicating and consulting with stakeholders during the formation, implementation and maintenance of the risk management plan.

**Learner Evidence Response & Declaration****18509****Demonstrate knowledge of the risk management process in the public sector****Assessor:** \_\_\_\_\_**Section 1  
Learner Details****Surname:** \_\_\_\_\_ **First Name(s):** \_\_\_\_\_**Date Evidence Submitted:** \_\_\_\_\_**Section 2  
Evidence Checklist**

<b>Task Required</b>	<b>Evidence Attached Yes/No</b>
• Assessment Task One	
• Assessment Task Two	
• List of Information Sources	

**Section 3  
Originality of Work**

I declare that the work attached is submitted as my own work for all assignments. Work that directly quotes or copies the ideas, words or forms of another is attributed to that person. I understand that should my work be found fraudulent, I will be disqualified from assessment.

**Signed:** \_\_\_\_\_ **Date:** \_\_\_\_\_

## Assessment Guide Summary

### Unit 18509 V1: Demonstrate knowledge of the risk management process in the public sector

#### Notes:

- i. All work shall meet documented enterprise quality management requirements, including the documentation of activities, events and decisions.
- ii. Performance in relation to the elements and performance criteria must comply with the Australia and New Zealand Standard for Risk Management - ANZS4360: 1999.

Element	Evidence Required	Judgement
<p><b>Element 1</b> Demonstrate knowledge of the philosophy and concept of risk management.</p>	<p>Learner to complete Task One.</p> <ul style="list-style-type: none"> <li>• A written response to questions 1 and 2.</li> </ul>	<ul style="list-style-type: none"> <li>• Responses are correct within allowable boundaries.</li> <li>• Responses comply with statutory provisions of current legislation and meet standard operating procedures.</li> <li>• Responses comply with the Australia and New Zealand Standard for Risk Management.</li> </ul>
<p><b>Elements 2 &amp; 3</b> Describe the risk management process in terms of the Australia and New Zealand Standard for Risk Management.</p> <p>Identify elements associated with the assembly of a risk management plan in terms of the Australia and New Zealand Standard for Risk Management.</p>	<p>Learner to complete both questions in Task Two.</p>	<ul style="list-style-type: none"> <li>• Responses are correct within allowable boundaries.</li> <li>• Responses comply with statutory provisions of current legislation and meet standard operating procedures.</li> <li>• Responses comply with the Australia and New Zealand Standard for Risk Management.</li> </ul>