



Australian Government

PUAEMR027 Assess operational risk

Release: 1

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Modification History

PUAEMR027 Release 1: Primary release.

Unit Descriptor

This unit describes the outcomes required to identify and assess risk in an operational environment.

No licencing, legislative, regulatory or certification requirements apply to this unit at the time of publication.

Application of the Unit

This competency applies to workers at a relatively simple and routine level, in which they use established organisational policy and procedures. Workers would normally have local supervisory or management responsibility and apply known solutions to a variety of predictable problems.

The unit covers the first four steps of the risk management process and provides the skills and knowledge required to conduct a risk assessment.

Licensing/Regulatory Information

Not applicable.

Pre-Requisites

Not applicable.

Employability Skills Information

This unit contains employability skills.

Elements and Performance Criteria Pre-Content

Elements describe the essential outcomes of a Unit of Competency.

Performance Criteria describe the required performance needed to demonstrate achievement of the element. Where ***bold italicised*** text is used, further information is detailed in the Range Statement. Assessment of performance is to be consistent with the Evidence Guide.

Elements and Performance Criteria

ELEMENT

PERFORMANCE CRITERIA

- | | |
|--------------------------------------|---|
| 1. Establish the risk context | <p>1.1 Objectives and scope are identified using organisational risk management standards and guidelines.</p> <p>1.2 <i>Risk criteria</i> are identified and confirmed as contained in organisational policies, procedures or supervisor guidance.</p> <p>1.3 <i>Structure for the planning</i> required to conduct a risk assessment is determined.</p> <p>1.4 <i>Stakeholder</i> aims and objectives are identified and recorded in accordance with workplace procedures and guidelines.</p> |
| 2. Identify risk | <p>2.1 All possible sources of risk which may affect the situation or objectives are identified and recorded in consultation with stakeholders.</p> <p>2.2 Risks are identified using a <i>specified methodology or tool</i> in accordance with workplace procedures and guidelines.</p> <p>2.3 Risk statements describing consequences are generated.</p> |
| 3. Analyse risk | <p>3.1 Risks are analysed by estimating the likelihood of particular consequences occurring.</p> <p>3.2 Levels of risk are determined, documented and communicated in accordance with organisational policies and procedures.</p> |
| 4. Evaluate risk | <p>4.1 Levels of risk are prioritised for treatment.</p> <p>4.2 Calculated level of risk is compared to the established risk evaluation criteria, and communicated to supervisors.</p> <p>4.3 Risks are monitored and reviewed until appropriate</p> |

treatment measures have been implemented.

Required Skills and Knowledge

This describes the essential skills and knowledge and their level, required for this unit.

Required Skills

- communicating effectively with risk management specialists and people at all organisational levels
- preparing more detailed reports for a range of target groups including OHS or risk committee, OHS representatives, managers and supervisors
- managing own tasks within time frame
- using consultation and negotiation skills, particularly in relation to developing plans and implementing and monitoring designated actions
- contributing to the assessment of the resources needed to systematically assess risks and, where appropriate, access resources
- analysing relevant workplace information and data, and make observations including of workplace tasks and interactions between people, their activities, equipment, environment and systems
- carrying out simple arithmetical calculations (e.g. % change), and produce graphs of workplace information and data to identify trends and recognise limitations
- interpreting information and data to identify areas for improvement
- using language and literacy skills appropriate to the workgroup and the task
- using basic computer and information technology skills to access internal and external information and data on risk
- undertaking basic research to access relevant information and data
- paying attention to detail when making observations and recording outcomes.

Required Knowledge

- organisational policies, procedures and guidelines relevant to risk
- risk management terminology and language in accordance with relevant standards
- specified methods or tools endorsed by an organisation and provided for use in the identification and analysis of risk
- team work principles and strategies
- techniques for giving and receiving feedback in a constructive manner
- concept of common law duty of care as applies in emergency risk management context
- structure and forms of legislation including regulations, codes of practice, associated standards and guidance material
- roles and responsibilities under OHS legislation of employees, including supervisors and contractors
- techniques/methods used to identify or analyse information

- verbal and non-verbal communication techniques including language style, active listening

Evidence Guide

Critical aspects for assessment and evidence required to demonstrate competency in this unit

Assessment must confirm the ability to define and identify risk language, definitions and terminology. Evidence must also be provided of stakeholder's involvement throughout the process and that an informed analysis of the risks has been undertaken using tools and methodology approved by the organisation.

Consistency in performance

Competency should be demonstrated by gathering evidence over a range of workplace scenarios, using a variety of tools and methodology and should include the assessment of a variety of risks that may adversely impact on the organisation.

Context of and specific resources for assessment

Context of assessment

Competency should be assessed in the workplace or under conditions that closely simulate the workplace

Specific resources for assessment

Access to:

- organisational documentation
- relevant organisational standards
- appropriate tools and methods used within the organisation
- simulated or real-world workplaces

Guidance information for assessment

Valid assessment of this unit requires:

- a workplace environment or one that closely resembles normal work practice and replicates the range of conditions likely to be encountered when applying the principles of operational risk assessment, including coping with difficulties, irregularities and breakdowns in routine
- application of the principles of operational risk assessment in a range of 3 or more contexts or occasions, over time.

Assessment methods should reflect but not exceed workplace demands, such as literacy, and the needs of

individuals who might be disadvantaged.

Assessment methods suitable for valid and reliable assessment of this unit must use authenticated evidence from the workplace and/or training courses and may include a combination of two or more of:

- workplace projects
- simulation or role plays
- case studies and scenarios
- observation
- portfolios

Range Statement

The Range Statement relates to the Unit of Competency as a whole. It allows for different work environments and situations that may affect performance. ***Bold italicised*** wording in the Performance Criteria is detailed below.

Organisational risk management standards and guidelines may include:

- Standard AS/NZS/ISO 31000:2009 Risk Management—Principles and Guidelines
- regulatory or legislative requirements e.g. ohs act
- environmental protection and sustainability regulations
- industry standards and codes of practice
- organisational charter/business plan
- organisational ohs, risk management or resilience policies or operating procedures

Risk criteria may include:

- the nature and types of causes and consequences that can occur and how they will be measured
- how likelihood will be defined
- the timeframe(s) of the likelihood and/or consequence(s)
- how the level of risk is to be determined
- the views of stakeholders
- the level at which risk becomes acceptable or tolerable
- whether combinations of multiple risks should be taken into account and, if so, how and which combinations should be considered

Structure for the planning may include:

- documentation required
- analysis tools which are required to conduct the assessment
- approach taken to conduct the assessment
- depth of assessment

Specified methodology or tools may include:

- a risk matrix
- analysis of risk registers
- brainstorming
- business continuity planning
- examining any available data e.g. audit results/incident reports
- expert judgement
- focus groups
- nomogram
- scenario analysis

Unit Sector(s)

Not applicable.