Australian Government

Department of Education, Employment and Workplace Relations

RIIRIS501A Implement and maintain management system to control risk

Release: 1

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Modification History

Not applicable.

Unit Descriptor

This unit covers the implementation and maintenance of management systems to control risk in resources and infrastructure industries. It includes developing the framework for and processes to support site risk management systems; planning and implementing risk management systems; and monitoring, reviewing and updating risk management processes.

Application of the Unit

This unit is appropriate for those working in a management roles or risk management technical roles, managing or advising the implementation and maintenance of management systems to control risk within:

- Civil construction
- Coal mining
- Drilling
- Extractive industries
- Metalliferous mining

Licensing/Regulatory Information

Refer to Unit Descriptor.

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 performance needed to demonstrate achievement of the element. Where bold italicised text is used, further information is detailed in the required skills and knowledge section and the range statement. Assessment of performance is to be consistent with the evidence guide.

Elements and Performance Criteria

ELEMENT	PERFORMANCE CRITERIA
1. Develop the framework for the site risk management system	1.1. Access, interpret and apply compliance documentation relevant to implementing and maintaining management systems to control risk 1.2. Develop and document site objectives in the area of managerial responsibility, in consultation with relevant personnel, and conforming to the organisation's policy and system's procedures 1.3. Develop and document the structures for the application of the management system, in consultation with relevant personnel 1.4. Define, allocate and document the responsibilities for applying the management system in job descriptions and duty statement for all relevant site positions
2. Develop the processes to support the site risk management system	2.1. Identify existing and potential site *hazards* and *risks* in the area of managerial responsibility from site inspection and trends identified from the record system 2.2. Access, interpret and clarify the organisation's criteria for assessing and *treating risks* 2.3. Develop and document detailed *site procedures and practices* for the application of the management system in *consultation with relevant personnel* 2.4. Identify, obtain and maintain information sources and expert advice required to support the management system
3. Plan and implement the risk management system	3.1. Plan, schedule and document how the management systems will be introduced to the entire work site 3.2. Identify, seek and/or provide *resources* for the operation of the management system, in a timely and consistent manner 3.3. Provide and explain information on the site management system in a form readily accessible to site employees 3.4. Provide or arrange appropriate development and/or training for site

	personnel on the risk management systems' site procedures and practices
	3.5. Make available information on known and intended process changes and enhancements to *site personnel*
	3.6. Provide support and encouragement to those responsible for the detailed system activities
	3.7. Ensure all management systems' *records and reports* are produced, processed and maintained
4. Monitor, review and update the risk management processes	4.1. *Monitor* the management systems' activities and achievement targets and provide/focus resources to ensure the implementation plan is satisfied
	4.2. Review and update the management systems' implementation plan periodically and when changing circumstances are anticipated or occur
	4.3. Complete and retain *management system documentation* including the reasons for and changes made to the system

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Required Skills and Knowledge

This section describes the skills and knowledge required for this unit.

Required skills

Specific skills are required to achieve the performance criteria in this unit, particularly for the application in the various circumstances in which this unit may be applied. This includes the ability to carry out the following as required to implement and maintain management systems to control risk:

- apply legislative, organisation and site requirements and procedures to implement and maintain management systems to control risk
- develop and maintain site procedures and practices
- read, interpret, apply and communicate technical information, rules, procedures, regulations
- document and facilitate management planning
- maintain relevant records and documents
- monitor and decide on changes to process
- provide leadership and guidance for group activities
- explain complex information to superiors/subordinates
- provide coaching and mentoring support
- apply active listening
- apply negotiation skill
- apply sensitivity to the needs and feelings of others
- actively encourage the free exchange of information

Required knowledge

Specific knowledge is required to achieve the Performance Criteria of this unit, particularly its application in a variety of circumstances in which the unit may be used. This includes knowledge of the following, as required for the implementation and maintenance of management systems to control risk:

- relevant legislative requirements
- roles and responsibilities of relevant personnel within the organisation
- action planning methods
- human resource management processes
- method of identifying appropriate action based on cost, safety, and welfare issues
- work procedure and instruction documentation requirements
- reporting and recording procedures
- work site operating procedures
- hazard identification processes
- risk assessment processes
- risk treatment processes
- documentation methods

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Evidence Guide

The evidence guide provides advice on assessment and must be read in conjunction with the performance criteria, required skills and knowledge, range statement and the Assessment Guidelines for the Training Package.

Overview of assessment	
Critical aspects for assessment and evidence required to demonstrate competency in this unit	The evidence required to demonstrate competency in this unit must be relevant to worksite operations and satisfy all of the requirements of the performance criteria, required skills and knowledge and the range statement of this unit and include evidence of the following: • knowledge of the requirements, procedures and instructions for the implementation and maintenance of management systems to control risk • implementation of procedures and techniques for the safe, effective and efficient implementation and maintenance of management systems to control risk • the identification of the relevant information and scope of the work required to meet the required outcomes • working with others to undertake and complete the implementation and maintenance of management systems to control risk • consistent successful implementation and maintenance of management systems to control risk
Context of and specific resources for assessment	• This unit must be assessed in the context of the work environment. Where personal safety or environmental damage are limiting factors, assessment may occur in a simulated environment provided it is realistic and sufficiently rigorous to cover all aspects of workplace performance, including task skills, task management skills, contingency management skills and job role environment skills. • The assessment environment should not disadvantage the participant. For example, language, literacy and numeracy demands of assessment should not be greater than those required on the job. • Customisation of assessment and delivery

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	environment to sensitively accommodate cultural diversity. • Aboriginal people and other people from a non English speaking background may have second language issues. • Assessment of this competency requires typical resources normally used in a civil works environment. Selection and use of resources for particular worksites may differ due to site circumstances. • Where applicable, physical resources should include equipment modified for people with disabilities. • Access must be provided to appropriate learning and/or assessment support when required.
Method of assessment	This unit may be assessed in a holistic way with other units of competency. The assessment strategy for this unit must verify required knowledge and skill and practical application using more than one of the following assessment methods: • written and/or oral assessment of the candidate's knowledge required to undertake the implementation and maintenance of management systems to control risk • observed, documented and/or first hand testimonial evidence of the candidate's: • implementation of appropriate procedures and techniques for the safe, effective and efficient achievement of the required outcomes • identification of the relevant information and scope of the work required to meet the required outcomes • consistently achieving the required outcomes • first hand testimonial and documentary evidence of the candidate's: • working with others to undertake and complete the implementation and maintenance of management systems to control risk • provision of clear and timely required support and advice on the implementation

	and maintenance of management systems to control risk
Guidance information for assessment	Consult the SkillsDMC User Guide for further information on assessment including access and equity issues.

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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, if used in the performance criteria, is detailed below. Essential operating conditions that may be present with training and assessment (depending on the work situation, needs of the candidate, accessibility of the item, and local industry and regional contexts) may also be included.

Relevant compliance documentation may include:	- legislative, organisation and site requirements and procedures - manufacturer's guidelines and specifications - Australian standards - code of practice - Employment and workplace relations legislation - Equal Employment Opportunity and Disability Discrimination legislation
The **areas of managerial responsibility** covered by this may include:	- statutory compliance - occupational health and safety - environment - quality - property security - business risks, such as: - credit management - capital expenditure - sales and marketing - finance and accounting
The **policy** is:	the statement of overall intent and direction of the organisation in respect of the specific area of managerial responsibility
The **system's procedures** are:	the procedures that support and expand on the policy and set out the requirements for implementing the system on individual sites. They provide direction and guidance to those responsible for implementation of the system and in the preparation of site-specific work procedures, instruction and practices to put the system into effect
System's procedures may include:	- identification of hazards - risk identification - risk assessment - risk treatment - interim solutions

	• dealing with unplanned incidents and events • consultation • communication • monitoring • review • record keeping • reporting • training
Hazards are:	• sources of potential harm or situations with the potential to cause loss
Risk is:	• the chance of something happening that will have an impact upon objectives. It is measured in terms of consequence and likelihood
Risk identification is:	• the process of determining what can happen, why and how
Risk treatment is:	• the selection and implementation of appropriate options for dealing with risk
Risk treatment should:	• considered using options in sequence from eliminating the hazard, substitution, engineering controls, administrative controls, and finally PPE
Site procedures and practices may include:	• standard operating procedures • safe operating procedures • work instructions • emergency procedures • allocation of responsibilities • permit requirements • sampling, testing and worksite inspection requirements • documentation and reporting requirements
Consultation with relevant personnel would typically include:	• senior management • subject matter experts • regulatory authorities • tenderers • project managers • contractors • employees • community • customers • suppliers

Resources may include:	• people • finance • equipment • buildings/facilities • technology • information
Site personnel may include:	• employees • contractors
Records and reports may include	• results • recommendations • assessment forms • action planning documents, etc
Monitor is:	• to check, supervise, observe critically, or record the progress of an activity, action or system on a regular basis in order to identify change
Management systems documentation may need to include:	• requirements for the maintenance of records for statutory/legal breaches • provision of information and training • regulations and code of practice relating to statutory/legal compliance • site representatives and committees • issue resolution

Unit Sector(s)

Risk Management

Competency field

Refer to Unit Sector(s).

Co-requisite units

Not applicable.