



**Australian Government**

# **RIIRIS301E Apply risk management processes**

**Release: 1**

## RIIRIS301E Apply risk management processes

### Modification History

This unit replaces RIIRIS301D Apply risk management processes. Significant endorseable amendments have been made to Elements, Performance Criteria, Foundation Skills, Performance Evidence and Knowledge Evidence to better reflect current industry practices and clarify training outcomes.

### Application

This unit describes the skills and knowledge required to apply risk management processes in the mining, drilling and civil infrastructure industry.

This unit applies to individuals who contribute to applying risk management processes as part of their responsibilities. This could be an employer, line manager, supervisor, safety representative or employee. This unit applies to those who carry out or assist in carrying out risk assessment in the workplace.

Licensing, legislative and certification requirements that apply to this unit can vary between states, territories and industry sectors. Users must check requirements with relevant body before applying the unit.

### Elements and Performance Criteria

| ELEMENT                                          | PERFORMANCE CRITERIA                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
|--------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>Elements describe the essential outcomes.</i> | <i>Performance criteria describe the performance needed to demonstrate achievement of the element.</i>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| 1. Plan and prepare for risk management          | 1.1 Access, interpret and apply compliance documentation relevant to the application of risk management processes<br>1.2 Inspect and analyse work area conditions regularly and systematically to identify risks and potential hazards<br>1.3 Access, interpret and apply existing procedures and any other documented measures to control identified hazards<br>1.4 Identify risks and hazards not addressed by workplace policies, procedures, processes and systems<br>1.5 Communicate potential hazards to relevant duty holders in accordance with workplace policies and procedures |
| 2. Identify and assess                           | 2.1 Consider and determine the likelihood of an incident in accordance with workplace risk management                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |

| ELEMENT                                              | PERFORMANCE CRITERIA                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
|------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| unacceptable risk                                    | <p>processes</p> <p>2.2 Evaluate and determine the consequences of the incident</p> <p>2.3 Consider and determine the risk level associated with the incident</p> <p>2.4 Identify or source the criteria for determining the acceptability or unacceptability of the risk</p> <p>2.5 Evaluate the risk and identify 'unacceptable risk' status</p>                                                                                                                                                                                                                |
| 3. Identify and recommend risk controls              | <p>3.1 Identify a range of risk controls which may eliminate or minimise the hazards</p> <p>3.2 Conduct analysis of feasible risk controls, including the identification of resource requirements</p> <p>3.3 Select the most appropriate risk controls for dealing with the hazard using the Hierarchy of Control</p>                                                                                                                                                                                                                                             |
| 4. Contribute to the implementation of risk controls | <p>4.1 Document risk management plan for selected risk controls, including resource requirements</p> <p>4.2 Obtain authorisation and required resources from relevant individuals and/or parties for selected risk controls</p> <p>4.3 Document, verify and review risk controls for the activity</p> <p>4.4 Apply workplace procedures and any other applicable measures to control recognised hazards and associated risks</p> <p>4.5 Communicate information on the controls and their implementation in accordance with workplace policies and procedures</p> |
| 5. Review risk management documentation              | <p>5.1 Monitor and review risk management documentation</p> <p>5.2 Seek authority and approval, in writing, to amend risk management documentation</p> <p>5.3 Seek authority and approval to action amendments to risk management documentation</p>                                                                                                                                                                                                                                                                                                               |

## Foundation Skills

*This section describes those language, literacy, numeracy and employment skills that are essential to performance but not explicit in the performance criteria.*

| Skill | Description |
|-------|-------------|
|-------|-------------|

| Skill              | Description                                                                                                                                                                                                 |
|--------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Reading            | <ul style="list-style-type: none"><li>Identifies and interprets information from workplace procedures, policies, documentation and systems</li></ul>                                                        |
| Writing            | <ul style="list-style-type: none"><li>Produces and completes workplace reports, including risk management matrices, using appropriate vocabulary, grammatical structures and conventions</li></ul>          |
| Oral communication | <ul style="list-style-type: none"><li>Presents information and provides assistance using industry specific vocabulary</li><li>Uses listening and questioning to clarify and confirm understanding</li></ul> |

## Unit Mapping Information

Supersedes and is equivalent to RIIRIS301D Apply risk management processes.

## Links

Companion Volume implementation guides are found in VETNet -

<https://vetnet.gov.au/Pages/TrainingDocs.aspx?q=88a61002-9a21-4386-aaf8-69c76e675272>

# Assessment Requirements for RIIRIS301E Apply risk management processes

## Modification History

This unit replaces RIIRIS301D Apply risk management processes. Significant endorseable amendments have been made to Elements, Performance Criteria, Foundation Skills, Performance Evidence and Knowledge Evidence to better reflect current industry practices and clarify training outcomes.

## Performance Evidence

The candidate must demonstrate the ability to complete the tasks outlined in the elements and performance criteria of this unit.

The candidate must demonstrate completion of application of risk management processes that safely, effectively and efficiently follows workplace procedures to carry out work activity on at least two occasions, and include:

- applying planning and organising skills to the risk management processes
- identifying or sourcing criteria to determine unacceptable risk
- identifying and recognising type and scope of hazards and their impact
- assessing and determining the consequence, likelihood and level of potential risk
- identifying unacceptable risk using the acceptable/unacceptable criteria
- assessing options for appropriate controls and implementing accordingly
- identifying and obtaining required resources
- preparing and maintaining written records and report requirements
- reviewing risk management documentation
- identifying and recommending controls
- contributing to the implementation of controls.

In the course of the above work the candidate must also:

- locate and apply relevant documentation, policies and procedures
- apply relevant operational information
- apply industry terminology
- demonstrate the ability to engage with workers reporting to you, co-workers, and supervisors in the risk management processes
- communicate clearly and concisely with others to receive and clarify work instructions and to coordinate work activities
- meet written and verbal reporting requirements and procedures associated with risk management processes.

## Knowledge Evidence

The candidate must be able to demonstrate knowledge to complete the tasks outlined in the elements and performance criteria of this unit. This includes:

- commonwealth and state or territory Acts, regulations, codes or practice standards, guidance material and other relevant publications
- internal and external sources of work related health and safety information and data and how to access them
- work related health and safety legislative requirements relating to:
  - communication, consultation and participation
  - recordkeeping
  - specific hazard identification and risk assessment and control methods
- concept of hazards, risks and risk factors
- topics or subject areas which are targets for assessment and treatment
- site risk management systems and their application
- site work related health and safety management systems and their application
- Hierarchy of Control and its application
- conventions and requirements for written communications including report writing
- problem solving techniques.

## Assessment Conditions

Mandatory conditions for assessment of this unit are stipulated below. The assessment must:

- include access to risk management policies, procedures and systems
- be conducted in a safe environment; and,
- be assessed in the context of this sector's work environment; and,
- be assessed in compliance with relevant legislation/regulation and using policies, procedures and processes directly related to the industry sector for which it is being assessed; and,
- confirm consistent performance can be applied in a range of relevant workplace circumstances.

Where personal safety or environmental damage are limiting factors, assessment may occur in a simulated work environment\* provided it is realistic and sufficiently rigorous to cover all aspects of this sector's workplace performance, including environment, task skills, task management skills, contingency management skills and job role environment skills.

## Assessor Requirements

Assessors must be able to clearly demonstrate current and relevant industry knowledge and experience to satisfy the mandatory regulatory standards as set out in the Standards for Registered Training Organisations (RTOs) 2015/Australian Quality Training Framework mandatory requirements for assessors current at the time of assessment and any relevant licensing and certification requirements. This includes:

- vocational competencies at least to the level being delivered and assessed
- current industry skills directly relevant to the training and assessment being provided
- current knowledge and skills in vocational training and learning that informs their training and assessment

- formal relevant qualifications in training and assessment
- having knowledge of and/or experience using the latest techniques and processes
- possessing the required level of RII training product knowledge
- having an understanding and knowledge of legislation and regulations relevant to the industry and to employment and workplaces
- demonstrating the performance evidence, and knowledge evidence outlined in this unit of competency, and
- the minimum years of current\*\* work experience after competency has been obtained as specified below in an industry sector relevant to the outcomes of the unit.

It is also acceptable for the appropriately qualified assessor to work with an industry expert to conduct assessment together and for the industry expert to be involved in the assessment judgement. The industry expert must have current industry skills directly relevant to the training and assessment being provided. This means the industry subject matter expert must demonstrate skills and knowledge from the minimum years of current work experience after competency has been obtained as specified below, including time spent in roles related to the unit being assessed:

| Industry sector                                                                              | AQF indicator level***                                                                                                                                                                                                                                                                                                         | Required assessor or industry subject matter expert experience |
|----------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------|
| Drilling, Metalliferous Mining, Coal Mining, Extractive (Quarrying) and Civil Infrastructure | 1                                                                                                                                                                                                                                                                                                                              | 1 year                                                         |
|                                                                                              | 2                                                                                                                                                                                                                                                                                                                              | 2 years                                                        |
| Drilling, Coal Mining, Extractive (Quarrying), Metalliferous Mining and Civil Infrastructure | 3-6                                                                                                                                                                                                                                                                                                                            | 3 years                                                        |
| Other sectors                                                                                | Where this unit is being assessed outside of the resources and infrastructure sectors assessor and/or industry subject matter expert experience should be in-line with industry standards for the sector in which it is being assessed and where no industry standard is specified should comply with any relevant regulation. |                                                                |

\*Guidance on simulated environments has been stipulated in the RII Companion Volume Implementation Guide located on VETNet.

\*\*Assessors can demonstrate current work experience through employment within industry in a role relevant to the outcomes of the unit; or, for external assessors this can be demonstrated through exposure to industry by conducting a minimum number of site assessments as determined by the relevant industry sector, across various locations.

\*\*\* While a unit of competency does not have an AQF level, where a unit is being delivered outside of a qualification the first numeric character in the unit code should be considered as the AQF indicator level for assessment purposes.

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