



Australian Government

RIIRIS402D Carry out the risk management process

Release: 2

RIIRIS402D Carry out the risk management process

Modification History

Release	Comment
1	This unit replaces RIIRIS402A Carry out the risk management processes
2	Required frequency and volume of evidence amended in Performance evidence. Substantial amendments made in Assessment Conditions field, including: references to Industry Sectors, assessor and subject matter expert experience requirements, how assessment should be conducted and what it should confirm.

Application

This unit describes a participant's skills and knowledge required to carry out risk management processes in the Resources and Infrastructure Industries.

This unit is appropriate for those working in supervisory roles.

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

Elements and Performance Criteria

1. Plan and prepare for implementing the risk management process	1.1 Access, interpret and apply risk management documentation and ensure the work activity is compliant 1.2 Identify and determine the process to be used for risk management 1.3 Identify, develop and document parameters of the risk assessment task 1.4 Access, interpret and apply the data required to complete the risk assessment task
2. Identify hazards	2.1 Identify and confirm types of potential hazards by reference to site circumstances, history and/or precedence 2.2 Establish and communicate to others the process for hazard identification 2.3 Undertake routine hazard identification 2.4 Add to the hazard identification process any potential variations from changes to work practices, systems or technology 2.5 Analyse the hazard identification process or parts of the process,

	to identify and prepare written documents to communicate loss scenarios
3. Assess risk	3.1 Determine the likelihood of the loss scenario 3.2 Analyse and determine the consequence if the loss scenario should occur 3.3 Determine the risk level of the loss scenario
4. Identify unacceptable risk	4.1 Source or determine site criteria for assessing the acceptability of risks in conjunction with the appropriate party 4.2 Determine the risk level or score 4.3 Seek expert advice and clarify findings which are ambiguous, unclear or of doubtful accuracy
5. Identify potential actions	5.1 Identify existing controls 5.2 Identify, analyse and document the range of risk controls for identified unacceptable risks 5.3 Identify risk control options using the hierarchy of controls, considering operational effectiveness 5.4 Verify feasible options for risk control by preliminary analysis and consideration
6. Decide on action	6.1 Select most appropriate risk controls for the situation from the feasible options 6.2 Clarify the decision and confirm the selected course of action following analysis of resource requirements, cost, safety and welfare issues within site constraints 6.3 Prepare written document outlining the selected course of action and resources required
7. Implement or facilitate action	7.1 Implement directly, or facilitate through others, the course of action plans 7.2 Maintain the standards for safety regulations and procedures 7.3 Communicate to all parties relevant information related to the new/revised work procedures and action plans 7.4 Reinforce requirements through observing the impact of information and implemented action plans 7.5 Coach others to effectively carry out action plans
8. Review the implementation of action	8.1 Determine and facilitate an ongoing review process to ensure implementation and application plans for risk controls 8.2 Routinely review process, actions and controls to ensure continuing effectiveness in the changing work environment

	8.3 Respond to, or refer to the appropriate party for follow-up action, anomalies and shortcomings identified during the review process
9. Audit the risk management process	9.1 Conduct audits of risk management processes and work procedures and amend accordingly 9.2 Consult with others to identify issues to action plans 9.3 Respond to changed requirements identified during audits in a systematic and timely manner 9.4 Complete and retain all written risk management documentation covering the reason for, and changes made
10. Complete records and reports	10.1 Produce and process and all written risk management documentation and reports 10.2 Maintain all written risk management documentation and reports

Foundation Skills

Foundation skills essential to performance are explicit in the performance criteria of this unit. Further information is available in the Resources and Infrastructure Industry Training Package Companion Volume.

Unit Mapping Information

RIIRIS402B Carry out the 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 RIIRIS402D Carry out the risk management process

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Performance Evidence

The evidence required to demonstrate competency in this unit must be relevant to the roles within this sector's 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:

- obtain and applies relevant legislation, documentation, policies and procedures
- works effectively with others to undertake and complete carrying out the risk management process that meets all of the required outcomes including:
- seeking advice and clarifying findings for unacceptable risks
- communicating to all parties relevant outcomes, work procedures and requirements for managing risk
- demonstrates completion of carrying out the risk management process that safely, effectively and efficiently meets all of the required outcomes on more than one (1) occasion including:
 - facilitating risk assessment exercises for others
 - providing clear and timely instruction and supervision by the individual of those involved in carrying out the risk management
 - providing opportunity for people to undertake hazard identification and implement action plans
 - identifying hazards which may have acute and long-term effects on people
 - applying hazard analysis to identify and score the risk
 - selecting and implementing the appropriate treatments using the hierarchy of controls, and reduce unacceptable risk
 - auditing outcomes and processes for compliance and effectiveness, and recommend changes to improve effectiveness
 - preparing written risk assessment documentation

Knowledge Evidence

The candidate must demonstrate knowledge of apply the risk management process through:

- hazards and assessing risks
- acceptability of risks
- identifying existing risk controls
- determining adequacy of current risk controls
- new potential risk controls

Assessment Conditions

- An assessor of this unit must satisfy the requirements of the NVR/AQTF or their successors; and Industry regulations for certification and licensing; and,
- this unit is best assessed in the context of this sector's 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 this sector's workplace performance, including environment, task skills, task management skills, contingency management skills and job role environment skills; and,
- this unit must be assessed in compliance with relevant legislation/regulation and using policies, procedures, processes and operational manuals directly related to the industry sector for which it is being assessed; and,
- assessment may be conducted in conjunction with the assessment of other Units of Competency; and,
- assessment must confirm consistent performance can be applied in a range of relevant workplace circumstances; and,
- assessors must demonstrate the performance evidence, and knowledge evidence as outlined in this Unit of Competency, and through the minimum years of current* work experience specified below in an Industry sector relevant to the outcomes of the unit; or,
- where the assessor does not meet experience requirements a co-assessment or partnership arrangement must exist between the qualified assessor and an Industry subject matter expert. The Industry subject matter expert should hold the unit being assessed (or an equivalent unit) and/or demonstrate equivalence of skills and knowledge at the unit level. An Industry technical expert must also demonstrate skills and knowledge from the minimum years of current work experience specified below in the Industry sector, including time spent in roles related to the unit being assessed; and,
- assessor and Industry subject matter expert requirements differ depending on the Australian Qualifications Framework Level (AQF) of the qualification being assessed and/or Industry Sector as follows:

Industry sector	AQF** Level	Required assessor or Industry subject matter expert experience
Drilling, Metalliferous Mining, Coal Mining, Extractive (Quarrying) and Civil Construction	1	1 Year
	2	2 Years

Drilling, Coal Mining and Extractive (Quarrying)	3-6	3 Years
Metalliferous Mining and Civil Construction	3-6	5 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.	

*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 frequent site assessments across various locations.

**Where a unit is being delivered outside of a Qualification the first numeric character in the Unit code should be considered to indicate the AQF level

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