



Australian Government

RIIRIS402E Carry out the risk management process

Release: 1

RIIRIS402E Carry out the risk management process

Modification History

This unit replaces RIIRIS402D Carry out the risk management process. 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 carry out risk management processes, including planning, identifying hazards and assessing risk, and developing and implementing risk controls.

This unit is appropriate for those working in supervisory roles overseeing and auditing the risk assessment process.

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 implementing the risk management process	1.1 Access, interpret and apply internal and external 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 information and data required to complete the risk assessment task
2. Identify workplace 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 according to workplace policies and procedures 2.3 Undertake hazard identification processes in line with workplace policies and procedures

ELEMENT	PERFORMANCE CRITERIA
	2.4 Analyse the hazard identification process or parts of the process and prepare written documents to communicate loss scenarios, in accordance with workplace policies and procedures 2.5 Determine and document hazard identification processes in instances of any potential changes to work practices, systems or technology
3. Assess workplace risks and identify unacceptable risk levels	3.1 Identify workers at risk of exposure to hazards and determine the severity of potential harm, including likelihood, risk level of and consequence if the loss scenario should occur 3.2 Contribute to applying techniques, tools and processes to identified hazards to determine and assess risk level or score 3.3 Seek advice from experts and clarify findings which are ambiguous, unclear or of doubtful accuracy in accordance with workplace policies and procedures 3.4 Document the results of risk assessment in accordance with workplace policies and procedures 3.5 Communicate risk assessment outcomes with workers, contract workers, managers and technical specialists
4. Identify potential actions and develop risk controls	4.1 Identify and assess existing controls in place for workplace risks 4.2 Evaluate feasible risk control options using the hierarchy of controls and in line with workplace policies and procedures 4.3 Select most appropriate risk controls for the situation from the feasible options 4.4 Clarify the decision and confirm the selected controls according to own role and responsibilities 4.5 Document selected risk controls, course of action and required resource requirements according to workplace policies and procedures
5. Implement and evaluate risk control	5.1 Implement the course of action plan directly or facilitate through others in accordance with safety regulations and workplace policies and procedures 5.2 Communicate relevant information related to the new or revised work procedures and action plans to all parties in accordance with workplace policies and procedures 5.3 Evaluate requirements through observing the impact of information and implemented action plans

ELEMENT	PERFORMANCE CRITERIA
	5.4 Coach others to effectively carry out action plans according to own role and responsibilities 5.5 Maintain all written risk management documentation and reports 5.6 Determine and facilitate an ongoing review process over the implementation and application plans for risk controls, adjusting for changes in work environment if required 5.7 Follow-up actions, anomalies and shortcomings with relevant parties identified during the review process
6. Audit the risk management process and complete records	6.1 Conduct audits of risk management processes and work procedures and amend in accordance of own role and responsibilities 6.2 Consult with others involved in the risk management process to identify improvements to relevant action plans 6.3 Respond to changed requirements identified during audits in a systematic and timely manner 6.4 Complete, retain and maintain all written risk management documentation and reports

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
Reading	Identifies and interprets information from workplace procedures, policies, documentation and systems
Writing	Produces and completes workplace reports, including risk management matrices, using appropriate vocabulary, grammatical structures and conventions
Oral communication	- Presents information or assistance using industry specific vocabulary - Uses listening and questioning to clarify and confirm understanding

Unit Mapping Information

Supersedes and is equivalent to RIIRIS402D Carry out the risk management process.

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 RIIRIS402E Carry out the risk management process

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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 carrying out the risk management process that safely, effectively and efficiently follows workplace procedures to carry out work activity on at least two occasions. This includes:

- facilitating risk assessment exercises for others
- providing instruction and supervision to those involved in carrying out the risk management process
- identifying hazards
- applying hazard analysis to identify risk
- selecting and implementing the appropriate hazard and risk treatments using the hierarchy of controls to reduce unacceptable risk
- seeking advice and clarifying findings for unacceptable risks
- communicating relevant outcomes, work procedures and requirements for managing risk to all involved parties
- auditing outcomes and processes for compliance and effectiveness, and recommending changes to improve effectiveness
- preparing written risk assessment documentation and reports.

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

- locate and apply relevant workplace documentation, policies and procedures.

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, risk factors, and adequacy/acceptability of risks
- 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 Risk Control measures and its application
- conventions and requirements for written communications including report writing
- problem solving techniques relevant to risk management processes.

Assessment Conditions

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

- include access to risk management policies, processes, 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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