



Australian Government

RIIRIS501E Implement and maintain management systems to control risk

Release: 1

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Modification History

Release	Comments
Release 1	This version first released with RII Resources and Infrastructure Industry Training Package Version 5.0.

Application

This unit describes the skills and knowledge required to implement and maintain management systems to control risk in the resources and infrastructure industries.

It applies to those working in management roles. They generally work in teams and have some responsibility for the outcomes of others.

Licensing, legislative and certification requirements may apply to this unit and 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 to develop the framework for the risk management system	1.1 Obtain, interpret and confirm work requirements 1.2 Access, interpret and apply documentation required to implement and maintain management systems to control risk 1.3 Develop and document the objectives in the area of responsibility with relevant personnel 1.4 Develop and document the structures for the application of the management system with relevant personnel 1.5 Define, allocate and document the responsibilities for applying the management system, in job descriptions and duty statements
2. Develop the processes to support the risk management system	2.1 Identify existing and potential hazards and risks from inspections and trends identified from the record system 2.2 Access, interpret and confirm the organisation's criteria for assessing and treating risks 2.3 Develop and document, procedures and practices for the

ELEMENT	PERFORMANCE CRITERIA
	implementation action plan for the risk management system 2.4 Identify, obtain and maintain information sources and expert advice according to workplace procedures 2.5 Identifies risk management training needs of others according to workplace procedures
3. Plan and implement the risk management system	3.1 Plan, schedule and document how the management system will be introduced to relevant personnel 3.2 Identify, seek and provide resources for the operation of the management system according to workplace procedures 3.3 Communicate information in a form readily accessible to relevant personnel 3.4 Arrange appropriate development and training for relevant personnel 3.5 Communicate known and intended process changes and enhancements to relevant personnel 3.6 Confirm all records and reports are produced, processed and maintained according to workplace procedures
4. Monitor, review and update the risk management processes	4.1 Monitor activities and achievement targets and provide/focus resources to confirm the implementation action plan is satisfied 4.2 Review and update the implementation action plan periodically and when changing circumstances are anticipated or occur 4.3 Complete and retain documentation according to workplace procedures

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
Writing	Prepares specific information that complies with a range of regulatory requirements, using sector-specific terminology
Oral communication	Conveys information and requirements clearly, and listens carefully
Reading	Identifies and interprets relevant information from workplace procedures, documentation and regulations
Problem solving	Identifies a range of factors that impact on a decision, including own values and principles, the needs, power, values, beliefs and assumptions of stakeholders

Unit Mapping Information

Supersedes and is equivalent to RIIRIS501D Implement and maintain management system to control risk.

Links

Companion Volume implementation guides is found on VETNet -

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

Assessment Requirements for RIIRIS501E Implement and maintain management systems to control risk

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Performance Evidence

The candidate must demonstrate the ability to complete the tasks outlined in the elements, performance criteria and foundation skills of this unit, including evidence of the ability to:

- to implement and maintain management systems to control risk on at least two occasions, including:
 - planning, scheduling and documenting in writing how the management systems will be introduced, resourced, maintained, monitored and audited
 - developing the processes and procedures to support the risk management system
 - identifying training needs of relevant personnel
 - providing clear and timely instruction and supervision to those involved in applying the site risk management system
 - maintaining written records and preparing and producing risk management system reports.

During the above, the candidate must:

- locate and apply relevant legislation, documentation, policies and procedures and confirm that the work activity is compliant
- implement the requirements, procedures and techniques for implementing and maintaining management systems to control risk
- work effectively with others to implement and maintain management systems to control risk in a way that meets all required outcomes
- communicate clearly and concisely with others to receive and clarify work instructions.

Knowledge Evidence

The candidate must be able to demonstrate knowledge to complete the tasks outlined in the elements, performance criteria and foundation skills of this unit, including knowledge of:

- key legislation required to implement and maintain management systems to control risk

- key policies, procedures and documentation required to implement and maintain management systems to control risk, including:
 - roles and responsibilities of relevant personnel within the organisation
 - risks and hazards on site
 - risk assessment processes
- principles and techniques for writing reports and reviewing processes
- principles and techniques to communicate with relevant personnel, including:
 - active listening
 - questioning
- principles and techniques for identifying relevant hazards and emergencies
- techniques for coordinating and communicating job activities with others.

Assessment Conditions

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

- include access to:
 - personal protective equipment
 - equipment related to implement and maintain management systems to control risk
 - relevant documentation
- 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 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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