



Australian Government

RIIRIS601E Establish and maintain risk management systems

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 establish and maintain the risk management system in the resources and infrastructure industries.

It applies to those who work in management roles. They are generally responsible for the outcomes of others and contribute to the development of solutions to non-routine problems.

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 establish the framework for the risk management system	1.1 Obtain, interpret and confirm work requirements 1.2 Access, interpret and apply documentation required to establish and maintain the risk management system 1.3 Develop worksite policy and objectives regarding risk management 1.4 Establish and implement the risk management structure and framework 1.5 Confirm, allocate and document responsibilities for risk management in job descriptions and duty statements according to workplace procedures
2. Establish processes to support the risk management system	2.1 Develop, document and communicate procedures covering risk identification, assessment, treatment, communication, consultation, monitoring and review to relevant personnel as required 2.2 Provide appropriate development and training for relevant personnel

ELEMENT	PERFORMANCE CRITERIA
	2.3 Obtain, communicate and maintain information sources that support the risk management system to relevant personnel as required 2.4 Communicate information on known and intended process changes and enhancements to the risk management system to relevant personnel 2.5 Determine, provide and communicate the workplace criteria for assessing the acceptability of risks to relevant personnel 2.6 Obtain and provide expert advice to relevant personnel as required
3. Plan and facilitate the implementation of the risk management system	3.1 Plan, schedule and document the coverage of the risk management system according to workplace procedures 3.2 Monitor the risk management activities and achievement targets, and provide and focus resources to confirm the risk management system is satisfied according to job requirements 3.3 Review and update the risk management system periodically
4. Audit the management processes	4.1 Formally audit risk management processes, including operating procedures and implementation processes according to workplace procedures 4.2 Respond to changed requirements disclosed during audits in a systematic and timely manner according to workplace requirements 4.3 Complete and retain risk management 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

SKILL	DESCRIPTION
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 RIIRIS601D Establish and maintain the risk management system.

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 RIIRIS601E Establish and maintain risk management systems

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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:

- establish and maintain the risk management system on at least two occasions, including:
 - applying procedures for developing and maintaining procedures and policies
 - applying procedures for facilitating and documenting management planning
 - applying procedures for monitoring and deciding on changes to processes
 - explaining complex risk management information to superiors/subordinates
 - applying coaching and mentoring support to supervisors who are carrying out risk management activities
 - actively encouraging the free exchange of information through consultation, using technology mediums and policies
 - preparing written reports, communicating the options for managing risk, clarifying the decisions and reviewing of outcomes
 - performing audits of risk management processes
 - recognising positive behaviours of others contributing to the management of risk.

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 required for establishing and maintaining the risk management system
- 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 establish and maintain the risk management system

- key policies, procedures and documentation required to establish and maintain the risk management system, including:
 - work procedures
 - risk management system reporting and recording procedures
 - hazard identification, risk assessment and risk treatment processes
 - organisational mentoring, coaching and training practices
- principles and techniques for managing and communicating with others, including:
 - active listening
 - barriers to communication and provides clarification to make meaning
 - actions based on cost, safety, and welfare issues
- principles and techniques for planning methods
- 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 establishing and maintaining the risk management system
 - 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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