



Australian Government

Department of Education, Employment and Workplace Relations

RIIRIS402A Carry out the risk management processes

Release: 1

RIIRIS402A Carry out the risk management processes

Modification History

Not applicable.

Unit Descriptor

This unit covers the skills and knowledge required to carry out risk management processes in the coal and metalliferous mining industries. It includes: determining the risk management process; identifying hazards; assessing risk; identifying unacceptable risk and potential actions; deciding on, implementing or facilitating of actions; reviewing the implementation of action; auditing the risk management process; and completing records and reports.

Application of the Unit

This unit is appropriate for those working in supervisory and risk management technical specialist roles within:

- Coal mining
- Metalliferous mining

Licensing/Regulatory Information

Refer to Unit Descriptor.

Pre-Requisites

Not applicable.

Employability Skills Information

This unit contains employability skills.

Elements and Performance Criteria Pre-Content

Elements describe the essential outcomes of a unit of competency.	Performance criteria describe the performance needed to demonstrate achievement of the element. Where bold italicised text is used, further information is detailed in the required skills and knowledge section and the range statement. Assessment of performance is to be consistent with the evidence guide.
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Elements and Performance Criteria

ELEMENT	PERFORMANCE CRITERIA
1. Determine the risk management process	1.1. Access, interpret and apply compliance documentation relevant to carry out risk management processes 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. Break process into steps or parts for detailed hazard identification 2.3. Add to the defined process any potential variations from changes to work practices, systems or technology 2.4. Analyse the steps or parts of the process, and identify and document 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 by the application of the approved site criteria 4.3. Clarify findings which are ambiguous, unclear or of doubtful accuracy by seeking expert advice
5. Identify potential actions	5.1. Identify existing controls 5.2. Identify, analyse and document the range of risk controls which may be appropriate for identified unacceptable risks 5.3. Identify possible options for risk control by the use of the hierarchy of controls ,

	considering the potential for operational effectiveness 5.4. Verify feasible options for risk control by preliminary analysis and consideration, including potential to provide an integrated response to the range of issues
6. Decide on action	6.1. Select most appropriate risk controls for the situation from the feasible options 6.2. Confirm the selected course of action following analysis of resource requirements, cost, safety and welfare issues within site constraints 6.3. Document the selected course of action
7. Implement or facilitate action	7.1. Implement directly, or facilitate through others, the course of action 7.2. Observe and apply all safety regulations and procedures 7.3. Communicate to all involved parties relevant information related to the new/revised work procedures and their implementation in accordance with site requirements
8. Review the implementation of action	8.1. Determine and facilitate an ongoing review process to ensure implementation and application of risk controls in accordance with risk assessment outcomes, new or revised work procedures and accident investigation outcomes 8.2. 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 to ensure compliance and effectiveness 9.2. Respond to changed requirements identified during audits in a systematic and timely manner 9.3. Complete and retain all risk management documentation covering the reason for, and changes made

10. Complete records and reports	10.1. Produce, process and maintain all risk management <i>documentation and reports</i>
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Required Skills and Knowledge

This section describes the skills and knowledge required for this unit.

Required skills

Specific skills are required to achieve the performance criteria in this unit, particularly for the application in the various circumstances in which this unit may be applied. This includes the ability to carry out the following as required to carry out a risk management processes:

- apply legislative, organisation and site requirements and procedures risk management processes
- read, interpret, apply and communicate technical information, procedures, regulations in the workplace
- apply effective communication with a range of people in the workplace
- facilitate a group of people to achieve a required outcome
- apply interview processes
- facilitate and document scoping sessions for risk assessment
- facilitate risk assessment exercises
- participate in a risk assessment as team members
- apply proactive hazard identification
- apply hazard analyse to identify and score the risk
- select the appropriate treatments reduce unacceptable risk
- apply Risk Assessment documentation requirements
- apply Risk Management documentation requirements and procedures
- maintain relevant records and documents
- audit systems for compliance and effectiveness, and recommend changes to improve effectiveness
- monitor and recommend changes to processes
- identify hazards which may have acute and long-term effects on people

Required knowledge

Specific knowledge is required to achieve the Performance Criteria of this unit, particularly its application in a variety of circumstances in which the unit may be used. This includes knowledge of the following, as required to carry out a risk management processes:

- relevant site and equipment safety requirements
- statutory and site rules, policies, procedures and regulations
- the risk management process
- risk assessment scoping methods
- risk assessment methods including:
 - identifying hazards
 - assessing risks

- determining acceptability of risks
- identifying existing controls
- determining adequacy of current controls
- identifying new potential controls
- risk management documentation and reporting methods used at a mine site
- methods of identifying Risk Control actions based on cost, safety and welfare issues
- action planning and implementation methods
- review and auditing methods
- basic human physiology
- the effects of hazards on people's health and hygiene
- causes and effects of common diseases and disabilities

Evidence Guide

The evidence guide provides advice on assessment and must be read in conjunction with the performance criteria, required skills and knowledge, range statement and the Assessment Guidelines for the Training Package.

Overview of assessment	
Critical aspects for assessment and evidence required to demonstrate competency in this unit	The evidence required to demonstrate competency in this unit must be relevant to 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: • knowledge of the requirements, procedures and instructions to carry out the risk management processes • implementation of appropriate procedures and techniques for the safe, effective and efficient carrying out of risk management processes • working with others to plan, prepare and conduct risk management processes • provision of clear and timely instruction and supervision by the individual of those involved in carrying out the risk management processes • evidence of the consistent successful application in carrying out the risk management processes
Context of and specific resources for assessment	• This unit must be assessed in the context of the 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 workplace performance, including task skills, task management skills, contingency management skills and job role environment skills. • The assessment environment should not disadvantage the participant. For example, language, literacy and numeracy demands of assessment should not be greater than those required on the job. • Customisation of assessment and delivery environment to sensitively accommodate cultural diversity.

	• Aboriginal people and other people from a non English speaking background may have second language issues. • Assessment of this competency requires typical resources normally used in a resources and infrastructure sector environment. Selection and use of resources for particular worksites may differ due to the site circumstances. • Where applicable, physical resources should include equipment modified for people with disabilities. • Access must be provided to appropriate learning and/or assessment support when required.
Method of assessment	This unit may be assessed in a holistic way with other units of competency. The assessment strategy for this unit must verify required knowledge and skill and practical application using more than one of the following assessment methods: • written and/or oral assessment of the candidate's required knowledge • observed, documented and/or first hand testimonial evidence of the candidate's: • implementation of appropriate procedures and techniques for the safe, effective and efficient achievement of the required outcomes • consistently achieving the required outcomes • first hand testimonial evidence of the candidate's: • working with others to plan, prepare and carry out the risk management processes • provision of clear and timely instruction and supervision by the individual of those involved in carrying out the risk management processes
Guidance information for assessment	Consult the SkillsDMC User Guide for further information on assessment including access and equity issues.

Range Statement

The range statement relates to the unit of competency as a whole. It allows for different work environments and situations that may affect performance. Bold italicised wording, if used in the performance criteria, is detailed below. Essential operating conditions that may be present with training and assessment (depending on the work situation, needs of the candidate, accessibility of the item, and local industry and regional contexts) may also be included.

Relevant compliance documentation may include:	- legislative, organisation and site requirements and procedures - manufacturer's guidelines and specifications - Australian standards - code of practice - Employment and workplace relations legislation - Equal Employment Opportunity and Disability Discrimination legislation
Risk is defined as:	the chance of something happening that will have an impact upon objectives. It is measured in terms of consequences and likelihood
Risk Management is defined as:	the systematic application of management policies, procedures and practices to the tasks of identifying, analysing, assessing, treating and monitoring risk
Risk Assessment is defined as:	the process used to determine risk management priorities by evaluating and comparing the level of risk against predetermined standards, target risk levels or other criteria
Parameters of the risk management task may include:	- objectives - system boundaries - hazard and consequence type - methods/team processes - timing, venue/locations - consultation and communication processes
Hazard is defined as:	a source of potential harm or a situation with a potential to cause loss
Hazards may involve:	- equipment and materials - people - methods/plans/work systems - the work environment
Loss scenarios may include:	- hazards described as: - incidents

	• events or • accidents
Likelihood is used as:	• a qualitative description of probability and frequency
Consequence is defined as:	• the outcome of an event or situation expressed qualitatively or quantitatively, being a loss, injury, disadvantage or gain
Risk level is determined by:	• combination of likelihood and consequence
Risk Acceptance is defined as:	• an informed decision to accept the likelihood and the consequences of a particular risk. The criteria for acceptability of risks must be determined by the organisation's internal policy, goals and/or objectives
Risk Control is defined as:	• that part of risk management which involves the provision of policies, standards and procedures to eliminate, avoid or minimise adverse risks facing an enterprise
Risk controls may include:	• those focussed on personal safety - e.g., personal protective equipment, medical standards, drug and alcohol, stress management, evacuation procedures, fitness for duty • those focussed on equipment/machinery safety - e.g., isolation, protection and guarding • hazard identification and monitoring • procedures for incident/emergency circumstances e.g. fire safety procedures, chemical safety procedures
Hierarchy of control should be considered using option types in sequence from:	• eliminating the hazard • substitution • engineering controls • administrative controls (work procedures, etc), and finally • personal protective equipment (PPE)
Safety regulations and procedures may contain:	• legislation and regulations • relevant Australian standards • management plans • OHS policies • code of practice • manufacturer's instructions
Work procedures may include:	• standard operating procedures (SOPs) • safe operating procedures (SOPs)

	• safe work procedures (SWPs) • safe job procedures (SJPs)
Audit is defined as:	• a systematic examination against defined criteria to determine whether activities and related results conform to planned arrangement, and whether these arrangements are implemented effectively and are suitable to achieve the organisation's policy and objectives
Audits may be:	• conducted internally, or may use external personnel • aspects to be audited may include: • parameters of the risk management task • the process and resulting documentation used for risk management • work procedures • implementation plans and processes • results of reviews of implementation
Risk management documentation and reports may include:	• objectives • parameters of the risk management task • methodology • results and recommendations • the risk assessment forms • action planning documents

Unit Sector(s)

Risk Management

Competency field

Refer to Unit Sector(s).

Co-requisite units

Not applicable.