



Australian Government

Department of Education, Employment and Workplace Relations

RIIRIS601A Establish and maintain the risk management system

Release: 1

RIIRIS601A Establish and maintain the risk management system

Modification History

Not applicable.

Unit Descriptor

This unit covers the establishing and maintaining of risk management systems in resources and infrastructure industries. It includes: establishing the framework processes to support the system; planning and facilitating the implementation of the system; auditing the risk management processes; and ensuring completion of records and reports.

Application of the Unit

This unit is appropriate for those working in a management role or as a technical specialist, within:

- Civil construction
- Coal mining
- Drilling
- Extractive industries
- 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. Establish the framework for the system	1.1. Access, interpret and apply compliance documentation relevant to establishing and maintaining risk management systems to control risk 1.2. Develop the policy and objectives that express the organisation's commitment to risk management 1.3. Establish and implement the structure and framework for the risk management system 1.4. Define, allocate and document responsibilities for risk management in job descriptions and duty statement for all relevant positions
2. Establish processes to support the system	2.1. Develop, document and communicate detailed systems procedures covering risk identification, assessment, treatment, communication, consultation, monitoring and review 2.2. Provide or arrange appropriate development and/or training for those who have responsibilities within the risk management system 2.3. Identify, obtain and maintain information sources required to support the risk management system and make them available to those who implement the risk management processes 2.4. Provide information on known and intended process changes and enhancements to those responsible for implementing the risk management processes 2.5. Determine and make available organisation's criteria for assessing the acceptability of risks to those responsible for implementing risk management processes 2.6. Obtain and provide expert advice, as necessary, to those responsible for implementing risk management processes
3. Plan and facilitate the	3.1. Plan, schedule and document the systems

implementation of the system	coverage of the entire work environment 3.2. Monitor the system activities and achievement targets and provide and focus resources to ensure the work plan is satisfied 3.3. Provide support and encouragement to those responsible for the detailed system activities 3.4. Review and update the system work plan when changing circumstances are anticipated or occur
4. Audit the management processes	4.1. Formally audit risk management processes, including operating procedures and implementation processes, to ensure compliance and effectiveness 4.2. Respond to changed requirements disclosed during audits in a systematic and timely manner 4.3. Complete and retain risk management documentation including the reasons for and changes made to the system
5. Completion of records and reports	5.1. Ensure all risk management documentation is produced, processed and maintained

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 establish and maintain risk management systems:

- apply legislative, organisation and site requirements and procedures
- read, interpret and apply legislation
- apply procedures for developing and maintaining procedures and policies
- read, interpret, apply and communicate technical information, rules, procedures, regulations
- apply procedures for facilitating and documenting management planning
- apply procedures for monitoring and deciding on changes to process
- provide leadership and guidance for group activities
- communicate effectively in the workplace
- explain complex information to superiors/subordinates
- apply coaching and mentoring support
- apply active listening
- show sensitivity to the needs and feelings of others
- actively encourage the free exchange of information

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 establish and maintain risk management systems:

- organisation's policies, goals and objectives
- relevant legislative requirements
- action planning methods
- negotiation methods
- written and oral communication methods
- human resource management processes
- method of identifying appropriate action based on cost, safety, and welfare issues
- work procedure and instruction writing requirements
- reporting and recording procedures
- work site operating procedures
- hazard identification processes
- risk assessment processes
- risk treatment processes

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| <ul style="list-style-type: none">• documentation methods and procedures |
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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 that are to apply in establishing and maintaining of risk management systems • implementation of procedures and techniques for the safe, effective and efficient establishment and maintenance of risk management systems • the identification of the relevant information and scope of the work required to meet the required outcomes • working with others to establish and maintain risk management systems • consistent and timely establishing and maintaining of risk management systems
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 civil works environment. Selection and use of resources for particular worksites may differ due to 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 • identification of the relevant information and scope of the work required • consistently achieving the required outcomes • first hand testimonial and documentary evidence of the candidate's: • working with others to establish and maintain risk management systems • consistent and timely gaining of approval for the establishing and maintaining of risk management systems • provision of clear, timely required support and advice on the application of risk management systems
Guidance information for assessment	Consult the SkillsDMC User Guide for further information on assessment including access and

	equity issues.
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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
The policy is:	• the statement of overall intent and direction of the organisation in respect of the specific area of managerial responsibility
Risk is	• the chance of something happening that will have an impact upon objectives. It is measured in terms of consequence and likelihood
Risk management is	• the culture, processes and structure that are directed towards the effective management of potential opportunities and adverse risk
Risk management may be applied to:	• statutory compliance • occupational health and safety • environment • quality • property security • business risks, such as: • credit management • capital expenditure • sales and marketing • finance and accounting
The system's procedures are	• the procedures that support and expand on the policy and set out the requirements for implementing the system on individual sites. They provide direction and guidance to those responsible for implementation of the system including the preparation of site specific work procedures, instruction and practices to put the

	system into effect
System's procedures may include:	• identification of hazards • risk identification • risk assessment • risk treatment • interim solutions • dealing with unplanned incidents and events • consultation • communication • monitoring • review • record keeping • reporting • training
Risk identification is	• the process of determining what can happen, why and how
Risk assessment is	• the overall process of risk analysis and risk evaluation
Risk treatment	• should considered using options in sequence from eliminating the hazard, substitution, engineering controls, administrative controls, and finally personal protective equipment
Consultation would typically include:	• regulatory authorities • tenderers • project managers • contractors • employees • community • customers • suppliers
Risk management processes are	• the systematic application of management policies, procedures and practices to the task of establishing the context, identifying, analysing, evaluating, treating, monitoring and communicating risk
Monitor is	• to check, supervise, observe critically, or record the progress of an activity, action or system on a regular basis in order to identify change
Resources may include:	• people • finance • equipment

	• buildings/facilities • technology • information
Risk management documentation may need to include:	• requirements for the maintenance of records for statutory/legal breaches • provision of information and training • regulations and code of practice relating to statutory/legal compliance • site representatives and committees • issue resolution
Audit is	• a systematic examination against defined criteria to determine whether activities and related results conform to planned arrangements and whether these arrangements are implemented effectively and are suitable to achieve the organisation's policy and objectives
Records and reports may include:	• audit and inspection reports • hazard registers • risk analysis records • risk treatment reports • minutes of meetings (risk management, occupational health and safety, environmental etc) • induction, instruction, training and assessment • manufacturer's and supplier's information • dangerous goods and hazardous substances registers • plant and equipment maintenance and testing reports • workers compensation and rehabilitation records • First Aid/medical records • major incident and emergency response instructions • emergency contact lists • financial records • contract documents

Unit Sector(s)

Risk Management

Competency field

Refer to Unit Sector(s).

Co-requisite units

Not applicable.