



Australian Government

RIIRIS402 Carry out the risk management process

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Modification History

Release	Comments
1	This unit of competency was first released in RII Resources and Infrastructure Industry Training Package Release 12.0.

Application

This unit describes the skills and knowledge required to carry out risk management processes within a crew or work area in the mining, drilling, extractive and civil infrastructure industries.

This unit applies to those working in supervisory roles and includes facilitating task-level risk assessments, planning, identifying hazards, assessing risk, implementing and verifying risk controls and responding to ensure the safety of a crew or work area.

Licensing/Regulatory Information

Licensing, legislative and certification requirements that apply to this unit can vary between states, territories and industry sectors. Users must check the requirements with the relevant body before applying the unit.

Refer to the **RII Companion Volume Implementation Guide Addendum: Risk Management and Safety** for guidance on sector and jurisdictional context.

Pre-requisite unit(s)

No pre-requisite units

Competency field(s)

Risk Management

Unit sector(s)

N/A

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 risk management documentation relevant to the work activity and crew or work area 1.2 Define the scope, context and criteria for the risk assessment activity 1.3 Identify and determine the impacted workers to be consulted and the appropriate process to be used for risk assessment according to the workplace risk management system
2. Identify hazards and assess risks	2.1 Select the appropriate tools, techniques and processes to identify hazards, determine and assess the risk level or score 2.2 Undertake the identification process to identify and confirm types of potential hazards, risks and unwanted events 2.3 Identify workers at risk of exposure to hazards and determine the likelihood and severity of potential harm 2.4 Seek advice from relevant others or subject matter experts where required and clarify findings that are ambiguous or unclear, and escalate matters that exceed delegated authority 2.5 Evaluate risk levels against workplace risk criteria to identify unacceptable risks and determine the need for treatment and stop triggers 2.6 Document the hazard identification and risk assessment process
3. Select and confirm risk controls	3.1 Identify and assess existing controls in place for workplace risks 3.2 Evaluate risk control options using the Hierarchy of Controls 3.3 Select the most appropriate risk controls for the work activity and crew or work area, in consultation with impacted workers 3.4 Clarify the decision and confirm the selected controls 3.5 Document selected risk controls, course of action and resource requirements
4. Implement risk controls	4.1 Implement risk controls directly or facilitate through others 4.2 Communicate and document relevant information related to risk controls and any new or revised work procedures to all parties

	4.3 Confirm that those responsible for implementing risk controls have the information and resources required to carry them out effectively
5. Monitor and review on-the-job control effectiveness	5.1 Conduct workplace inspections and engage with impacted workers to monitor hazards and confirm controls, including those that are critical to preventing or mitigating a serious event, are in place and working as intended 5.2 Recognise when a trigger has been met and take appropriate action to maintain the safety of the crew or work area 5.3 Recognise when a stop-work trigger has been met and cease the affected work activity, and take appropriate action to maintain the safety of the crew or work area 5.4 Engage with impacted workers to identify potential new hazards and adjust to changes in the work environment as required 5.5 Follow-up on actions, changes and shortcomings with relevant parties identified during the process 5.6 Document the outcomes of workplace inspections and on-the-job control effectiveness reviews
6. Review the risk management process	6.1 Conduct a review of risk management processes and work procedures 6.2 Consult with others involved in the risk management process to identify improvements 6.3 Record and report improvements identified during monitoring to the relevant parties

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	Interprets and applies legislation, workplace procedures, risk management documentation, risk assessment records and technical information to identify obligations, hazards and risk treatment requirements
Writing	Completes risk assessments, workplace inspection records, reports and risk control documentation using appropriate industry terminology and organisational requirements

Oral communication	• Uses questioning, active listening and clarification techniques to facilitate consultation, gather hazard and risk information, and communicate risk management outcomes to others
Numeracy	• Interprets and applies likelihood, consequence and risk-rating systems to assess risk levels and determine treatment priorities
Technology	• Uses workplace digital systems and devices to access risk management information, complete risk assessments, record outcomes, monitor actions and maintain workplace records

Range of conditions

N/A

Assessment Requirements for RIIRIS402 Carry out the risk management process

Performance Evidence

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

The candidate must demonstrate completion of carrying out the risk management process including, facilitating task-level risk assessments that include planning, identifying hazards, assessing risk, implementing and verifying risk controls and responding to ensure the safety of a crew or work area on at least two occasions.

This includes:

- consultation with impacted workers
- determining the process to be used for risk assessment
- facilitating task-level risk assessment across a crew or work area
- providing instruction and guidance to those involved in carrying out the risk management process
- identifying hazards
- applying hazard analysis to identify risk and unwanted events
- selecting and implementing the appropriate hazard and risk controls using the Hierarchy of Controls to reduce unacceptable risk and unwanted events
- verifying that the controls that are critical to preventing or mitigating a serious event are in place and effective
- recognising when a trigger is met and applying the required response to keep people safe
- recognising when a stop-work trigger is met and applying the required response to stop work and keep people safe
- responding when workers report a stop-work situation, or want to stop work themselves
- escalating when risks exceed the supervisor's authority
- seeking advice and clarifying findings for unacceptable risks
- communicating relevant outcomes, work procedures and requirements for managing risk to all involved parties
- documenting selected risk controls for job-level risk assessment which includes sign-off and agreement from the risk assessment team and impacted workers
- monitoring and reviewing outcomes and processes for compliance and effectiveness, and recommending changes to improve effectiveness
- preparing written risk assessment documentation and reports

- participating in formal risk assessment when required
- identifying unsafe practices that are becoming normalised and responding with escalation pathways

In the course of the above work, the candidate must locate, apply and follow:

- relevant workplace documentation, including policies and procedures
- workplace risk management system(s)
- legislation, safety regulations, standards and Codes of Practice

Knowledge Evidence

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

- Commonwealth and state or territory legislation, regulations, Codes of 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
- site risk management systems, processes, tools and how to apply them at a crew or work area level
- dealing with non-consensus on identified hazards, controls and stopping work
- site work-related health and safety management systems and their application in relation to the risk management process
- work-related health and safety legislative requirements relating to:
 - communication, consultation and participation
 - recordkeeping
 - specific hazard identification, risk assessment, and control methods
- concept of hazards, risks, risk factors, and adequacy/acceptability of risks
- safety and risk management practices
- identify when unsafe practices are becoming normalised and know how to respond with escalation pathways
- assessing likelihood, consequence and risk level or score in accordance with workplace risk criteria across a crew or work area
- task-level risk assessment facilitation methods
- Hierarchy of Controls and how to select appropriate controls
- methods for monitoring and verifying control effectiveness
- how to recognise the controls that are critical to preventing or mitigating a serious event, why they matter, and how to check they are in place and effective

- the responses required to take appropriate action and keep people safe when a trigger is met
- the responses required to stop work and keep people safe when a stop-work trigger is met
- how to respond when workers report a stop-work situation, or want to stop work themselves
- how to communicate risk information clearly to workers and how to make sure they have read and understood the information
- topics or subject areas which are targets for assessment and treatment
- conventions and requirements for written and digital communications, including report writing
- problem-solving techniques relevant to risk management processes

Assessment Conditions

The assessment must:

- include access to risk management policies, processes, procedures and systems
- be conducted in a safe environment
- be assessed in the context of this sector's work environment
- 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
- confirm consistent performance can be applied in a range of relevant workplace circumstances.

This unit of competency may be assessed in the workplace or in a simulated environment. Workplace simulation criteria are stipulated in the RII Companion Volume Implementation Guide.

Industry Experts

An industry expert engaged by an RTO to wholly or partially conduct assessment, independently or together with another assessor, or be involved in an assessment judgement, must also satisfy the assessor requirements in applicable vocational education and training legislation, frameworks and/or standards.

In addition to the requirements in applicable vocational education and training legislation, frameworks and/or standards, assessors and industry experts must also have a minimum of three (3) years industry experience, directly relevant to the training and assessment being provided.

Mandatory Workplace Requirements

Assessment of performance evidence may be in a workplace setting or an environment that accurately represents a real workplace.

Unit Mapping Information

Previous Code and Title	Equivalence	Comments
RIIRIS402E Carry out the risk management process	Not equivalent	Revision and updates to application, elements, performance criteria, performance evidence and knowledge evidence to better reflect current industry practice. Revision of assessment conditions in line with the Standards for RTOs 2025.

Links

Companion volumes, including implementation guides, are found on the national training register - <https://training.gov.au/training/details/RII>.