



Australian Government

RIIRIS501 Implement and maintain management systems to control risk

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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 implement and maintain risk management systems to control risk in the mining, drilling, extractive, and civil infrastructure industries.

This unit builds on the capability to apply the risk management process at the task level, and applies to those working in management roles who are responsible for ensuring that risk management processes supporting the system are resourced, embedded in practice, and continuously improved across a defined area of operations.

Licensing/Regulatory Information

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.

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
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<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 implement or review the processes for the risk management system	1.1 Obtain, interpret and review work requirements for an operational area 1.2 Access, interpret and apply documentation required to implement and maintain risk management systems 1.3 Develop or review the objectives in the operational area with relevant personnel, and record agreement and document the structures for the application of the management system with relevant personnel 1.4 Define or confirm, allocate and document the responsibilities for applying the management system, in job descriptions and duty statements 1.5 Evaluate the risk profile of the operational area, ensuring formal risk assessments are conducted as required, and confirm the risk management system is appropriate to the identified hazards, operational context and regulatory requirements
2. Develop or update the processes to support the risk management system	2.1 Identify existing and potential hazards and risks from inspections, trends identified from the record system and recommend adjustments as required 2.2 Develop or review procedures and practices for the implementation of the action plan for the risk management system and record outcomes 2.3 Identify, obtain and maintain information sources and expert advice 2.4 Evaluate the risk management capability of relevant personnel and identify training needs to support the effective system implementation
3. Implement the risk management system	3.1 Identify, evaluate and secure the resources required for effective operation of the management system, prioritising where competing demands exist 3.2 Communicate risk management information, including implementation plans, process changes and enhancements, in a form readily accessible and relevant to personnel 3.3 Monitor the implementation of the risk management system to identify barriers or inconsistencies in application, and respond by adjusting the implementation approach where required to maintain system integrity

4. Maintain the risk management processes to support the system	4.1 Monitor risk management processes against defined objectives and targets, identifying trends, gaps and areas requiring intervention 4.2 Update risk management processes and procedures in response to monitoring findings, periodic reviews and changes in operational circumstances 4.3 Maintain accurate and current documentation of risk management processes, system updates and maintenance activities
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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 documentation, risk management information, operational data and organisational requirements relevant to implementing and maintaining risk management systems - Reviews information from multiple sources to identify areas requiring improvement
Writing	- Develops and maintains risk management documentation, implementation plans, reports and records using organisational requirements and industry terminology - Documents decisions, responsibilities, monitoring outcomes and improvement actions clearly and accurately
Oral communication	- Communicates risk management requirements, implementation plans, process changes and system improvements clearly to relevant personnel - Uses questioning, discussion and active listening techniques to support consultation, capability development and effective implementation of risk management processes
Numeracy	- Interprets and evaluates operational risk information, performance measures, monitoring data and trend information to identify gaps, priorities and areas requiring intervention - Applies organisational objectives, targets and risk criteria when evaluating system effectiveness
Technology	Uses workplace technologies and risk management systems to access information, monitor performance, analyse records and

	trends, maintain documentation, prepare reports and communicate outcomes
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Range of conditions

N/A

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Assessment Requirements for RIIRIS501 Implement and maintain management systems to control risk

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 the ability to implement or review and maintain management systems across a defined area of operations to control risk on at least two occasions.

This includes:

- implementing the risk management process to identify, analyse, evaluate and treat risks in an operational area
- ensuring a formal risk assessment is conducted, including documenting the risk assessment outcomes and confirming selected controls are implemented
- verifying that controls in the operational area, including those that are critical to preventing or mitigating a serious event, are in place, functioning as intended and effective, and initiating corrective action where control performance is inadequate
- 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 in an operational area
- evaluating risk management capability and identifying training needs of relevant personnel to support them in applying the site risk management system
- maintaining written records and preparing and producing risk management system reports
- communicating clearly and concisely with relevant personnel to provide direction and coordinate risk management activities

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 and standards and Codes of Practice
- the requirements, procedures and techniques for implementing and maintaining risk management systems to control risk

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 knowledge of:

- Commonwealth and state or territory legislation, regulations, Codes of Practice, standards, guidance material and other relevant publications required to implement and maintain management systems to control risk
- workplace policies, procedures and documentation required to implement and maintain management systems to control risk, including the roles and responsibilities of relevant personnel within the organisation
- the risk management process, including hazard identification, risk analysis, risk evaluation, risk treatment, and monitoring and review, and how each step is applied in formal risk assessment and across an operational area
- the Hierarchy of Controls and its application when selecting, implementing and maintaining controls
- controls that are critical for preventing and mitigating serious events, and the activities required to ensure these controls remain effective
- methods for verifying and evaluating the effectiveness of risk controls across an operational area, and for responding and escalating when controls are not performing as required
- development and review of hazard management plans
- principles and techniques for monitoring and reviewing risk management processes and writing reports
- principles and techniques to communicate with relevant personnel, including active listening and questioning
- techniques for coordinating and communicating job activities with others

Assessment Conditions

The assessment must:

- include access to equipment related to implementing and maintaining management systems to control risk and relevant documentation
- 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
RIIRIS501E Implement and maintain management systems to control risk	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>.