



Australian Government

RIIRIS601 Establish and maintain risk management systems

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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 establish, maintain or review the risk management system in the mining, drilling, extractive, and civil infrastructure industries.

This unit builds on the capability to implement and maintain risk management systems within an operational area and applies to those who work in senior management or specialist roles who are accountable for the overall integrity of the risk management system at a site or operation.

This includes establishing a new site risk management framework, reviewing and updating an existing system in response to changes in the site risk profile, and conducting formal audits of risk management processes.

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 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
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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. Establish or review the framework for the risk management system	1.1 Analyse the site risk profile, operational context and regulatory environment to determine the requirements for the risk management framework 1.2 Develop or review worksite policy and objectives regarding risk management 1.3 Establish or confirm and implement the risk management structure, framework and governance arrangements 1.4 Confirm, allocate and document responsibilities for risk management 1.5 Evaluate the risk management framework against the site risk profile and operational requirements, and lead improvements where the framework does not adequately address identified risks
2. Establish or update processes to support the risk management system	2.1 Develop or update, document and communicate risk management procedures to support the consistent application of the risk management system across the organisation 2.2 Evaluate the risk management capability of relevant personnel and lead the development of strategies to address identified gaps 2.3 Communicate changes to the risk management system to relevant personnel in a timely and accessible manner 2.4 Determine or confirm and communicate the workplace criteria for assessing the acceptability of risks across the organisation, ensuring relevant personnel can apply them 2.5 Source, critically evaluate expert advice to inform decisions about the risk management system, exercising independent judgement where expert opinions conflict or are inconclusive 2.6 Establish or confirm processes to verify the ongoing effectiveness of the controls that are critical to preventing or mitigating a serious event and ensure findings are acted upon
3. Lead the implementation or review of the risk management system	3.1 Lead the implementation or review of the risk management system, ensuring it is integrated into operational planning, decision-making and performance management processes across the organisation

	3.2 Analyse risk management performance data to identify systemic trends, emerging risks and areas requiring strategic intervention 3.3 Determine when changes to the risk management system are required in response to changes in the operational environment, risk profile or regulatory context, and initiate appropriate action 3.4 Implement strategies to build an organisational culture that supports effective risk management, including open reporting, accountability and continuous improvement 3.5 Demonstrate and communicate risk management leadership behaviours to drive consistent application of the system across all levels of the organisation
4. Audit the risk management processes	4.1 Plan, coordinate and conduct formal audits of the risk management system, including evaluation of framework adequacy, process effectiveness and compliance with system requirements 4.2 Analyse audit findings to identify systemic issues, evaluate underlying causes and develop strategic recommendations for system improvement 4.3 Report audit outcomes and recommendations to senior leadership and relevant stakeholders, documenting escalation decisions and the rationale for prioritisation

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 critically evaluates legislation, standards, governance requirements, audit findings, risk management documentation and organisational performance information to determine system requirements and opportunities for improvement - Reviews and analyses information from multiple sources to support strategic risk management decision-making
Writing	Develops and reviews risk management policies, procedures, audit reports, recommendations and governance documentation using organisational and regulatory requirements

	• Documents decisions, responsibilities, findings and improvement actions clearly and accurately for a range of stakeholders
Oral communication	• Presents complex risk management information and recommendations clearly to senior leaders, workers and other stakeholders • Uses questioning, discussion and active listening techniques to build understanding, facilitate consultation and support organisational risk management objectives
Numeracy	• Interprets and evaluates risk management performance data, trend information and audit results to identify systemic issues, emerging risks and priorities for action • Applies organisational risk criteria and performance measures when evaluating the effectiveness of risk management systems
Technology	• Uses workplace technologies and information management systems to analyse risk management information, maintain records, monitor system performance, track actions and communicate outcomes across the organisation

Range of conditions

N/A

Assessment Requirements for RIIRIS601 Establish and maintain risk management systems

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 establish, maintain or review a risk management system on at least two occasions.

This includes:

- applying the risk management process to inform the design, review or improvement of a risk management framework at the site or organisational level
- developing or reviewing and maintaining procedures and policies
- facilitating and documenting management planning
- developing a plan for control implementation including responsible persons and timeframes
- performing audits of risk management processes, including reviewing risk assessments to confirm they have been conducted in accordance with the risk management framework, established risk criteria and the risk management process
- monitoring and evaluating system-wide control performance, including the ongoing effectiveness of the controls that are critical to preventing or mitigating a serious event, and deciding on changes to processes where performance is inadequate
- explaining complex risk management information to relevant personnel
- implementing appropriate capability-development strategies, including coaching and mentoring support to personnel responsible for facilitating risk assessments within their work areas
- 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 outcomes according to given timelines
- recognising positive behaviours of others contributing to the management of risk
- communicating clearly and concisely with relevant personnel to provide direction and confirm shared understanding of risk management requirements

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)
- relevant legislation, safety regulations and standards and codes of practice

- the requirements, procedures and techniques required for establishing or reviewing and maintaining the risk management system

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 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 and requirements at the organisational level
 - appropriate capability-development strategies including organisational mentoring, coaching and training practices
 - responsibilities in job descriptions and duty statements
- the risk management process, including hazard identification, risk analysis, risk evaluation, risk treatment, and monitoring and review, and how each step operates within, and is governed by, the risk management framework
- the relationship between operational area-level risk assessment activities and the site or organisational risk management framework, including how risk criteria set at the framework level guide risk assessment outcomes
- risk management framework design and governance
- methods for verifying controls after implementation and for evaluating the performance of controls and the risk management framework across the site or organisation, including indicators that control performance is inadequate
- how to evaluate whether the controls that are critical to preventing or mitigating a serious event remain effective across the site or organisation
- principles and techniques for managing and communicating with others, including:
 - active listening
 - identifying barriers to communication and providing clarification to confirm meaning
 - prioritising actions based on legal obligations, safety and welfare considerations, operational feasibility and available resources
- principles and techniques for planning methods related to establishing and maintaining risk management systems
- principles and techniques for identifying relevant hazards

- techniques for coordinating organisational risk-management activities and responsibilities across relevant functions and stakeholders
- setting achievement targets and allocating resources to confirm the risk management system meets organisational requirements

Assessment Conditions

The assessment must:

- include access to equipment related to establishing and maintaining a risk management system 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
RIIRIS601E Establish and maintain risk management systems	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.
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Links

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

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