

RII Resources and Infrastructure Industry Training Package

Implementation Guide
Addendum:
Risk Management and Safety



RII Risk Management and Safety - Supporting Information for RTOs

Purpose of this document

This addendum provides supporting information to help RTOs contextualise the delivery and assessment of the following units of competency:

- RIICOM301 Communicate information
- RIIRIS301 Apply risk management processes
- RIIRIS402 Carry out the risk management process
- RIIRIS501 Implement and maintain management systems to control risk
- RIIRIS601 Establish and maintain risk management systems
- RIIWHS301 Conduct initial safety and health investigations

It brings together nationally applicable guidance, sector-specific considerations for mining and resources, drilling, extractive operations and civil construction, jurisdiction-specific legislation and terminology, and advice on each unit for trainers and assessors. RTOs are encouraged to use this material to design training and assessment that reflects current regulatory requirements and industry practice, so learners can apply risk management and safety practices in their own workplace and jurisdiction.

Refer to the CVIG for matters applying across the training package, including qualification and unit mapping, access and equity, reasonable adjustment, foundation skills, pathways, resource requirements, assessor requirements, and the criteria for training and assessment in simulated environments. This addendum does not repeat that guidance.

This addendum provides guidance only. It does not create requirements additional to those in the endorsed units, and does not displace applicable work health and safety, mining safety, or vocational education and training obligations.

It does not address offshore petroleum operations, regulated separately under Commonwealth legislation. Operations within scope may also be subject to regimes it does not cover, including onshore petroleum and gas, explosives, and facilities holding scheduled quantities of hazardous chemicals. These apply in addition to the applicable framework.

Legislation, guidance and links current at publication may change. Users should verify that information remains current before relying on it.

Table of Contents

Purpose of this document	2
Part 1: Nationally applicable guidance	5
1.1 Model Work Health and Safety Instruments	5
1.2 Standards	5
1.3 Industry Guidance	5
1.4 Case studies	5
1.5 Assessor and industry expert experience	5
Part 2: Sector-specific guidance	6
2.1 Operations spanning more than one framework	6
2.2 Mining and resources	6
2.2.1 Statutory roles and appointments	6
2.2.2 Operation scale and tiered obligations	6
2.2.3 Critical control management	7
2.2.4 Glossary of critical control management terminology	7
2.2.5 Trigger Action Response Plans (TARPs)	8
2.2.6 Delivery and assessment considerations	9
2.3 Drilling	10
2.3.1 Delivery and assessment considerations	10
2.4 Extractive operations	11
2.5 Civil infrastructure and construction	11
2.5.1 Construction work and high-risk construction work	11
2.5.2 Safe Work Method Statements and the units	11
2.5.3 Further considerations	12
2.6 Operations without formal risk management systems	12
Part 3: Jurisdiction-specific guidance	13
3.1 Applicable legislation	13
3.1.1 Civil construction	13
3.1.2 Mining and resources	13
3.1.3 Regulators	15
3.2 Queensland	15

3.2.1 Recognised standards, guidelines and guidance notes	15
3.2.2 Management structure and unit selection	16
3.2.3 Critical control requirements.....	17
3.3 New South Wales	17
3.4 Western Australia	17
3.5 Terminology across jurisdictions	18
3.5.1 Jurisdictional definitions	18
Part 4: Unit-specific guidance.....	19
4.1 Guidance applying to all units	19
4.2 RIIRIS301 Apply risk management processes	20
4.3 RIIRIS402 Carry out the risk management process	21
4.4 RIIRIS501 Implement and maintain management systems to control risk.....	23
4.5 RIIRIS601 Establish and maintain risk management systems	23
4.6 Definitions and examples: RIIRIS301, RIIRIS402, RIIRIS501 and RIIRIS601	25
Examples	27
4.7 RIICOM301 Communicate information	27
4.8 Definitions: RIICOM301	28
4.9 RIIWHS301 Conduct initial safety and health investigations	29
4.10 Definitions: RIIWHS301	31
References	31

Part 1: Nationally applicable guidance

1.1 Model Work Health and Safety Instruments

[Model Work Health and Safety Act](#)

[Model Work Health and Safety Regulations](#)

[Model Code of Practice: How to manage work health and safety risks](#)

[Model Code of Practice: Work health and safety consultation, cooperation and coordination](#)

[Model Code of Practice: Managing psychosocial hazards at work](#)

[Model Code of Practice: Construction work](#)

1.2 Standards

The following are links to Standards relevant to Risk Management and safety:

[AS ISO 31000:2018 Risk management – Guidelines](#), *Standards Australia*

[ISO 31073:2022 Risk management – Vocabulary](#), *International Organization for Standardization*

[AS/NZS ISO 45001:2018 Occupational health and safety management systems - Requirements with guidance for use](#), *Standards Australia / Standards New Zealand*

1.3 Industry Guidance

[Critical Control Management: Good Practice Guide \(2026\)](#), *International Council on Mining and Metals*

1.4 Case studies

Industry recommends RTOs use case studies and analysis of historic incident reports to inform delivery of risk management practices.

1.5 Assessor and industry expert experience

Each unit requires assessors and industry experts to hold a minimum of three years' industry experience directly relevant to the training and assessment being provided, in addition to the requirements in applicable VET legislation, frameworks and standards. That requirement is stated in the units; the guidance below concerns how RTOs apply the words *directly relevant*.

The delivery context determines relevance. Experience in surface coal operations is not automatically relevant to assessment at an underground metalliferous mine or on a civil construction project, and sector variation applies to assessor currency as much as to candidate contextualisation. RTOs should establish relevance against the sector, commodity and operational context of delivery, rather than treating total years in the resources and infrastructure industries as sufficient on its own.

Part 2: Sector-specific guidance

2.1 Operations spanning more than one framework

Some operations are subject to more than one framework, either because different activities on the site are differently regulated or because the operation crosses a jurisdictional boundary. Where this occurs, RTOs should contextualise to the framework applying to the work the candidate performs.

2.2 Mining and resources

2.2.1 Statutory roles and appointments

Candidates completing RIIRIS402, RIIRIS501 and RIIRIS601 frequently hold, report to, or advise statutory position holders, and in some jurisdictions may undertake a unit to establish eligibility for appointment. Where a candidate is undertaking a unit for statutory appointment purposes, RTOs should confirm the current requirements with the relevant regulator, which may change independently of this Training Package.

Mining safety legislation establishes positions with defined statutory responsibilities, held by named individuals who must meet specified eligibility, competency and appointment requirements. These are distinct from the general *duty holder**, and a person holding a statutory position may or may not also be an officer or a person conducting a business or undertaking.

Queensland, New South Wales and Western Australia each maintain substantial statutory position schemes, and the mechanisms for establishing competency differ between them.

2.2.2 Operation scale and tiered obligations

Several jurisdictions scale obligations by the size, classification or commodity of the operation rather than applying them uniformly.

- **New South Wales** classifies mines into tiers. Tier 3 mines, typically smaller quarries and extractive operations, are exempt from holding principal hazard management plans and principal control plans, and must instead address the relevant hazards through their safety management system.
- **Queensland** applies tiered arrangements to quarries under the mining and quarrying legislation, with the tier set by the scale and nature of the operation. Requirements attaching to the quarry manager position, including whether a practising certificate is required, differ by tier.
- **Victoria** applies additional duties to operators of prescribed mines, and its mining provisions do not extend to quarries.

The effect on delivery is the same in each case: an RTO delivering the same unit at a large mine and at a small quarry in the same jurisdiction may be working with materially different documentation, because the smaller operation may not hold the plans and appointments that structure risk management at the larger one. The unit's requirements are unchanged; the evidence available to demonstrate them differs.

2.2.3 Critical control management

Critical control management identifies the comparatively small number of controls that most influence preventing fatal and catastrophic outcomes, defines their required performance, assigns accountability, and verifies their effectiveness over time. It sits within, rather than replaces, an operation's broader risk management framework. See the [ICMM - Critical Control Management: Good Practice Guide](#).

Its status differs by jurisdiction and commodity. In most jurisdictions it is applied voluntarily and appears in regulator guidance rather than legislation. In some, legislative requirements now attach to identifying critical controls and integrating them into the operation's documented system or hazard management plans. RTOs should establish which position applies in the jurisdiction and commodity of delivery, and should not assume the framework is either universally required or universally voluntary.

Critical control management is not a requirement of any unit in this addendum. The units are met through the risk management process and the hierarchy of controls, whether or not an operation applies such a framework. Where an operation applies a control-management framework under a different name, the functional requirements are generally equivalent, and RTOs should contextualise to the terminology in use.

Terminology varies; the principle does not. The principle that some controls matter more than others in preventing fatal outcomes is established across the resources and infrastructure industries; the terminology is not. RTOs should align with the terms used in the operation and confirm their meaning there.

Concept	Terms in use include
The most important controls	<i>Critical controls</i> (ICMM-based frameworks); <i>key controls</i> or <i>essential controls</i> (AS ISO 31000:2018 or enterprise risk frameworks); <i>safety critical elements</i> (some sectors and major hazard facilities); controls identified as critical within <i>principal hazard management plans</i> , <i>principal control plans</i> or <i>safety and health management systems</i> under state and territory mining legislation – noting that not every control recorded in such a plan is a critical control.
The hazards and events they address	<i>Fatal hazard</i> and <i>unwanted event</i> (current ICMM guidance); <i>material unwanted event</i> (Queensland coal mining, and organisations applying earlier ICMM guidance); <i>principal hazard</i> (Qld, Tas) and <i>principal mining hazard</i> (NSW, WA, SA, NT); <i>major mining hazard</i> (Vic); <i>critical risk</i> , <i>fatal risk</i> , <i>major hazard</i> and <i>catastrophic hazard</i> (varies between organisations).

2.2.4 Glossary of critical control management terminology

These terms are drawn from the [ICMM - Critical Control Management: Good Practice Guide](#) and apply to operations using such a framework, whether adopted voluntarily or required by legislation. They are not terms used in the units. Where an operation or an applicable instrument defines a term differently, that definition applies.

Term	Meaning
Bowtie analysis	A diagrammatic technique showing an unwanted event at the centre, its causes to the left, its consequences to the right, and the controls acting on each. Used to identify which controls are critical and to describe the loss scenario from cause through top event to consequence.
Control effectiveness	The extent to which a control performs as required in practice, assessed against its defined performance requirement rather than against whether harm has occurred.
Critical control	A control for a fatal hazard that is crucial to directly preventing an unwanted event or mitigating its consequences, and whose absence or failure would significantly increase either the likelihood of the event or the severity of its consequence, despite the presence of other controls.
Fatal hazard	A hazard with the potential to cause one or more fatalities.
Performance requirement	The specified standard a critical control must meet, expressed so it can be measured – for example, a dimension, a rating, a frequency or a response time.
Performance trigger	The point at which a control's measured performance departs far enough from its performance requirement to require a defined response.
Supporting activity	An activity necessary to establish, maintain or verify a control, but which does not itself prevent the event or mitigate the consequence.
Unwanted event	The event a critical control is intended to prevent or mitigate. Operations applying earlier ICMC guidance, and Queensland coal operations, may use <i>material unwanted event</i> .
Verification activity	A planned check that a critical control is present and performing to its requirement, carried out at a defined frequency by a defined accountable person.

2.2.5 Trigger Action Response Plans (TARPs)

A trigger action response plan (TARP) is a documented set of conditions and the actions required at each, used at many mining operations to remove the need for a person to decide at the point of work what a changing condition means. TARPs are one form of the stop-work trigger in practice; other operations use different arrangements to the same effect.

TARPs are not a requirement of any unit. They are relevant because RIIRIS402 requires candidates to recognise when a stop-work trigger has been met and cease the affected work. Where an operation uses TARPs, candidates should be able to locate the plan applying to their work area, identify which level current conditions correspond to, and carry out the actions required at that level. Where an operation uses a different arrangement, RTOs should contextualise to it.

2.2.6 Delivery and assessment considerations

The following considerations commonly arise when these units are delivered into mining and resources operations. They assist contextualisation and do not create requirements additional to the units.

Consideration	What it means for delivery
Commodity and mine type	Legislation, terminology, statutory positions, hazards and reporting obligations differ between coal, metalliferous and quarrying, and between underground and surface. Establish both before contextualising, and review materials built for one before applying them to another.
Whose system applies	Operations are commonly contractor-delivered, and a candidate may be employed by one business while working within another's risk management system. Assess against the system the candidate works within, which may be the mine operator's rather than the employer's.
Statutory appointment	Where a candidate is undertaking a unit toward eligibility for a statutory position, confirm current requirements with the relevant regulator before enrolment.
Rosters and shift patterns	Extended rosters, FIFO and DIDO arrangements and night shift affect scheduling. Schedule assessment to the roster cycle, consistent with fatigue management. Where performance is required on more than one occasion, the roster may determine the assessment period.
Site access	Induction, medical assessment, fitness-for-work testing and specified PPE are typically required, and assessors may need their own competencies to access some areas, including underground workings. Establish before enrolment, as these affect lead time.
Documentation scale	At operations with highly developed systems, a candidate may complete documentation correctly without being able to explain the reasoning behind it. Assess the hazard identification, control evaluation and judgement, not the documentation alone. Where documentation is limited, focus on actions taken and reasoning applied.

Terminology	Operations apply their own terms to assessment types, control classifications, escalation levels and reporting categories. Candidates should apply their workplace's terminology and understand the corresponding terms used elsewhere, given workforce mobility.
Emergency response	Operations commonly maintain emergency response teams and mines rescue capability. RIIRIS301's assessor requirements make specific provision for delivery in this context.

2.3 Drilling

Drilling operations within scope include mineral exploration drilling, water bore drilling, geotechnical drilling and drilling associated with civil infrastructure works. Drilling associated with onshore petroleum and gas production is regulated separately in several jurisdictions.

2.3.1 Delivery and assessment considerations

Consideration	What it means for delivery
Remote and isolated work	Crews frequently work at remote or isolated sites, at distance from support and emergency response. Remote or isolated work is a hazard in its own right and is expressly identified as a psychosocial hazard. Risk assessments and control selection should reflect the reduced availability of assistance.
Contractor on another's site	Drilling work is frequently performed by contractors on sites controlled by another business, including mine sites, farms and Crown land. The shared duty and coordination requirements apply directly, and candidates should be able to identify who holds which duty at the site on which they work.
Small crews where the assessor is the worker	Crews are typically small, and the person carrying out the risk assessment is frequently the person performing the work. Contextualisation of RIIRIS301 and RIIRIS402 should reflect this rather than assuming a separation between those roles.
Mobile work areas changing within a shift	Drilling operations are frequently mobile, with the work area changing between and within sites. The requirement to inspect and assess work area conditions regularly applies at each new location.
Ground disturbance permits	Ground disturbance carries risks including contact with underground services, unstable ground, and disturbance of contaminated material or cultural heritage. Permit and authorisation processes preceding ground disturbance are a significant control and should be reflected in delivery.

2.4 Extractive operations

Extractive operations within scope include quarries, sand and gravel extraction, and similar operations producing construction materials.

Consideration	What it means for delivery
Wide variation in scale	Extractive operations vary widely, from several hundred people to fewer than ten. Risk management systems, documentation and terminology vary correspondingly.
No dedicated WHS personnel	Many operations do not have dedicated WHS personnel, and risk management functions are performed by supervisors and managers alongside operational duties. Contextualisation of RIIRIS501 in particular should reflect that the person performing the function may hold several other roles.
Hazards commonly present	These include unstable faces and highwalls, mobile plant interaction, crushing and screening plant, silica and other airborne contaminants, and interaction between site traffic and public roads.
Proximity to residential and public areas	Operations frequently operate adjacent to residential and public areas, and risk assessments extend to persons other than workers.

2.5 Civil infrastructure and construction

Civil infrastructure and construction operations within scope include road and rail construction and maintenance, bulk earthworks, utilities and services installation, drainage and water infrastructure, and associated works.

2.5.1 Construction work and high-risk construction work

WHS legislation applies specific requirements to construction work, and additional requirements to the categories of high risk construction work defined in the [Model WHS Regulations](#). Several categories are routinely present in civil infrastructure work – trenching and excavation, work adjacent to trafficked roadways, work in areas of mobile plant movement, work near underground services, and precast concrete installation. Where a candidate's work falls into any of them, a safe work method statement (SWMS) is required and becomes the risk assessment document through which the units are most commonly applied. Victoria applies equivalent requirements under the Occupational Health and Safety Regulations 2017, with its own definition of high risk construction work.

2.5.2 Safe Work Method Statements and the units

The content, preparation, use and review requirements for a SWMS are set out in the [Model WHS Regulations](#) and are not repeated here. For delivery, the point is how the SWMS relates to the units:

- A SWMS performs the function of a task-level risk assessment as that term is used in this addendum – prepared for a defined scope of work, identifying its hazards and controls, and applied by the workers performing it. It differs in being a statutory document, with required content, an obligation to work in accordance with it, and a duty to review it. RTOs should treat it as the task-level instrument for this sector while recognising these statutory features are not features of task-level risk assessment generally.
- It is the risk assessment document candidates in this sector encounter most often, and the one through which RIIRIS301 and RIIRIS402 are most commonly applied. Candidates should be able to contribute to preparing a SWMS, apply one in the field, recognise when work has departed from it, and participate in its review.

2.5.3 Further considerations

- **Project-based and time-limited work.** Civil infrastructure work is organised into projects with defined durations, changing work fronts and changing personnel. Risk management systems are frequently established for a project rather than a permanent site. Contextualisation of RIIRIS501 and RIIRIS601 should accommodate project-based systems.
- **Multiple contractors are the norm.** A project commonly involves a principal contractor and numerous subcontractors working concurrently, so the consultation, cooperation and coordination duties are of particular significance.
- **Work frequently occurs in public areas.** Risk assessments extend to members of the public, road users and adjacent occupiers, in addition to workers.
- **Traffic management is a distinct discipline.** Work on or adjacent to trafficked roadways is high risk construction work and is subject to jurisdiction-specific traffic management requirements and authorisations, in addition to WHS duties

2.6 Operations without formal risk management systems

Many operations within the resources and infrastructure industries do not maintain risk management systems in the form these units describe. This is common in smaller extractive operations, drilling contractors, and small and medium civil contractors. The absence of a formal system does not mean the absence of risk management: such operations manage risk through a smaller set of documents, established practices and direct supervision. The units can be delivered and assessed in these environments, provided contextualisation reflects the operation as it is established.

Where an operation genuinely does not perform a function required by a unit, that unit may not be suitable for delivery in that context. RTOs should assess suitability before enrolment rather than at assessment, particularly for RIIRIS601, which requires the conduct of formal audits.

Part 3: Jurisdiction-specific guidance

3.1 Applicable legislation

The legislation identified here is current as at publication. WHS and mining safety legislation is subject to amendment, and instruments are periodically replaced. RTOs should confirm the legislation currently in force in the delivery jurisdiction.

3.1.1 Civil construction

The legislation below was identified as applicable to these units of competency when applied in a civil construction context.

Jurisdiction	Legislation
Commonwealth	Work Health and Safety Act 2011 (Cth) ; Work Health and Safety Regulations 2011 (Cth)
Australian Capital Territory	Work Health and Safety Act 2011 (ACT) ; Work Health and Safety Regulation 2011 (ACT)
New South Wales	Work Health and Safety Act 2011 (NSW) ; Work Health and Safety Regulation 2025 (NSW)
Northern Territory	Work Health and Safety (National Uniform Legislation) Act 2011 (NT) ; Work Health and Safety (National Uniform Legislation) Regulations 2011 (NT)
Queensland	Work Health and Safety Act 2011 (QLD) ; Work Health and Safety Regulation 2011 (QLD)
South Australia	Work Health and Safety Act 2012 (SA) ; Work Health and Safety Regulations 2012 (SA)
Tasmania	Work Health and Safety Act 2012 (TAS) ; Work Health and Safety Regulations 2022 (TAS)
Victoria	Occupational Health and Safety Act 2004 (VIC) ; Occupational Health and Safety Regulations 2017 (VIC)
Western Australia	Work Health and Safety Act 2020 (WA) ; Work Health and Safety (General) Regulations 2022 (WA)

3.1.2 Mining and resources

The legislation below was identified as applicable to these units when applied in a mining context. Legislation in some jurisdictions differs between coal and metalliferous mining.

Jurisdiction	Legislation
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Commonwealth	<u>Work Health and Safety Act 2011 (Cth)</u> ; <u>Work Health and Safety Regulations 2011 (Cth)</u>
Australian Capital Territory	<u>Work Health and Safety Act 2011 (ACT)</u> ; <u>Work Health and Safety Regulation 2011 (ACT)</u>
New South Wales	<u>Work Health and Safety (Mines and Petroleum Sites) Act 2013 (NSW)</u> ; <u>Work Health and Safety (Mines and Petroleum Sites) Regulation 2022 (NSW)</u> ; <u>Mining Act 1992 (NSW)</u>
Northern Territory	<u>Work Health and Safety (National Uniform Legislation) Act 2011 (NT)</u> ; <u>Work Health and Safety (National Uniform Legislation) Regulations 2011 (NT)</u>
Queensland	<u>Coal Mining Safety and Health Act 1999 (QLD)</u> ; <u>Coal Mining Safety and Health Regulation 2017 (QLD)</u> ; <u>Mining and Quarrying Safety and Health Act 1999 (QLD)</u> ; <u>Mining and Quarrying Safety and Health Regulation 2017 (QLD)</u> ; <u>Resources Safety and Health Legislation Amendment Act 2024 (QLD)</u> ; <u>Resources Safety and Health Legislation Amendment Regulation 2024 (QLD)</u>
South Australia	<u>Work Health and Safety Act 2012 (SA)</u> ; <u>Work Health and Safety Regulations 2012 (SA)</u> ; <u>Mining Act 1971 (SA)</u>
Tasmania	<u>Work Health and Safety Act 2012 (TAS)</u> ; <u>Work Health and Safety Regulations 2022 (TAS)</u> ; <u>Mines Work Health and Safety (Supplementary Requirements) Act 2012 (TAS)</u> ; <u>Mines Work Health and Safety (Supplementary Requirements) Regulations 2025 (TAS)</u>
Victoria	<u>Occupational Health and Safety Act 2004 (VIC)</u> ; <u>Occupational Health and Safety Regulations 2017 (VIC)</u> , Chapter 5.3 – Mines
Western Australia	<u>Work Health and Safety Act 2020 (WA)</u> <u>Work Health and Safety (General) Regulations 2022 (WA)</u> <u>Work Health and Safety (Mines) Regulations 2022 (WA)</u> <u>Work Health and Safety (Mines) Amendment Regulations (No. 2) 2024 (WA)</u>

3.1.3 Regulators

Jurisdiction	WHS Regulator	Mines Safety Regulator
Commonwealth	Comcare	<i>Not applicable – the Commonwealth did not adopt the mines provisions</i>
Australian Capital Territory	WorkSafe ACT	<i>Not applicable – no separate mining safety framework</i>
New South Wales	SafeWork NSW	NSW Resources Regulator
Northern Territory	NT WorkSafe	NT WorkSafe
Queensland	Workplace Health and Safety Queensland	Resources Safety and Health Queensland (RSHQ)
South Australia	SafeWork SA	SafeWork SA
Tasmania	WorkSafe Tasmania	WorkSafe Tasmania
Victoria	WorkSafe Victoria	WorkSafe Victoria
Western Australia	WorkSafe WA	WorkSafe Mines Safety

3.2 Queensland

3.2.1 Recognised standards, guidelines and guidance notes

Queensland regulates coal mining and mineral mining and quarrying under separate Acts, each with its own subordinate guidance. A recognised standard describes a way to achieve an acceptable level of risk and meet safety and health obligations under the relevant Act; a different approach may be adopted if it achieves an equivalent or better level of risk.

Recognised standards are made under the [Coal Mining Safety and Health Act 1999 \(Qld\)](#) and apply to coal mines only. For mineral mines and quarries, the corresponding instruments are guidelines and guidance notes under the [Mining and Quarrying Safety and Health Act 1999 \(Qld\)](#). The current instruments are published by [RSHQ](#).

Those most relevant to these units include:

Instrument	Subject	Applies to
Recognised Standard 2	Control of risk management practices	Coal mines
Recognised Standard 11	Training in coal mines	Coal mines
Recognised Standard 22	Management structure for the development and implementation of the safety and health management system	Coal mines
QGN 35	Integration of critical controls into principal hazard management plans	Coal mines
QGN 09	Reviewing the effectiveness of safety and health management systems	Coal mines
QGN 17	Development of effective job safety analysis	Mineral mines and quarries
QGN 38	Reviewing the effectiveness of safety and health management systems for metalliferous mines and quarries	Mineral mines and quarries

3.2.2 Management structure and unit selection

At coal mines, [Recognised Standard 22](#) requires the site senior executive to develop a management structure for the safety and health management system and to determine and document the competency requirements for positions delegated responsibility under it. Those requirements must be consistent with the position's responsibilities, relevant to the mine's risks, and aligned with the levels of responsibility described in the RII Training Package. Where the site senior executive determines a position does not require an RII qualification or unit, the basis for that determination must be demonstrable.

For delivery, this means unit selection at a Queensland coal mine is determined by the site's management structure rather than by role title alone, and the site senior executive should be able to articulate why particular units were selected for particular positions. This does not alter the requirements of the units. Operations in other jurisdictions may establish comparable structures under their own legislation or as a matter of practice, but this obligation is specific to Queensland coal.

3.2.3 Critical control requirements

Amendments made by the [Resources Safety and Health Legislation Amendment Act 2024 \(Qld\)](#) introduced critical control requirements into both the coal and the mining and quarrying legislation. The provisions commenced on 1 June 2025 with a transition period, and compliance has been required since 1 June 2026. At coal mines, critical controls are integrated into principal hazard management plans, with [QGN 35](#) as the associated guidance; at mineral mines and quarries, they are addressed within the safety and health management system.

As a result, a candidate at a Queensland mine or quarry is likely to encounter critical control terminology as part of the operation's documented system rather than as an optional framework. This does not change the unit requirements, which are expressed through the risk management process and the hierarchy of controls. Contextualisation should use the operation's own critical control terminology, and RIIRIS402's knowledge evidence on identifying when a control is critical will map onto the operation's documentation directly.

3.3 New South Wales

Exercising a statutory function in NSW requires a current practising certificate issued by the regulator, with different classes of mine requiring different functions. Eligibility rests on the regulator being satisfied the individual is competent, established by a certificate of competence, an interstate practising certificate, or specified qualification and experience. Certificates of competence are assessed against a published competency framework and involve examinations set by the regulator; practising certificates carry a maintenance-of-competence condition.

Units from this Training Package do not of themselves establish eligibility to exercise a statutory function in NSW. They may contribute to a qualification-and-experience pathway, or to maintenance of competence, but competence is determined by the regulator. RTOs should not represent completion of a unit as satisfying NSW statutory function requirements, and should direct candidates to the [NSW Resources Regulator](#) for current requirements.

3.4 Western Australia

The [Work Health and Safety \(Mines\) Regulations 2022 \(WA\)](#) require the mine operator to appoint persons to specified statutory positions, classified into categories with different functions, obligations and eligibility requirements. Some positions additionally require a statutory certificate, which may require a qualification, examinations, health and safety risk management units of competency, and minimum age and experience.

The regulator has approved specific health and safety risk management units for appointment to statutory positions, following approval of their suitability by the Mining Competence Advisory Committee. The approved list includes units from this Training Package alongside units from the Business Services Training Package and is periodically updated. Where a candidate is undertaking a unit to establish eligibility, the assessment

must satisfy the unit as endorsed; the regulator's approval relates to the unit, not to any particular delivery or assessment strategy. RTOs should confirm the current list with [WorkSafe WA](#) before enrolling candidates seeking or holding statutory appointments.

3.5 Terminology across jurisdictions

Different jurisdictions use different terms for the same function, and some terms carry different meanings depending on where they are used. Terms are not interchangeable across columns; each carries its own statutory threshold and attaching obligations. Where an operation uses a term not listed here, RTOs should confirm its meaning against the legislation applying at that operation.

Function	Queensland	New South Wales	Western Australia	Victoria	Tasmania
Principal <i>duty holder</i>	Site senior executive	Mine operator	Mine operator	Operator of a prescribed mine	Mine operator
Senior on-site statutory role	Site senior executive	Practising certificate holders performing statutory functions	Site senior executive	–	Site senior officer
Front-line statutory role	Various, by appointment	Statutory functions	Statutory supervisor	–	–
Serious near-miss reporting term	High potential incident (HPI)	Notifiable incident	Notifiable incident	Notifiable incident	Notifiable incident

3.5.1 Jurisdictional definitions

These definitions carry statutory thresholds and are provided so RTOs can contextualise reporting and hazard-planning content accurately.

Term	Meaning
Material unwanted event / critical control (Queensland)	A material unwanted event is one whose potential or real consequence exceeds a threshold the operator defines as warranting the highest level of attention. A critical control is a control crucial to preventing such an event or mitigating its consequences, the absence or failure of which would significantly increase risk despite other controls. The requirement applies under both the coal and the mining and quarrying legislation, as amended by the Resources Safety and Health Legislation

	Amendment Act 2024 (Qld). Source: Coal Mining Safety and Health Act 1999 (Qld) ; Mining and Quarrying Safety and Health Act 1999 (Qld) .
Principal hazard (Queensland, coal)	A hazard at a coal mine with the potential to cause multiple fatalities. Queensland uses <i>principal hazard</i> , not <i>principal mining hazard</i> . The principal hazards for which a plan is required are prescribed by regulation. Source: Coal Mining Safety and Health Regulation 2017 (Qld) .
Principal mining hazard (New South Wales)	A hazard with a reasonable potential to result in multiple fatalities, or multiple serious injuries or illnesses, in a single incident or a series of recurring incidents. Source: Work Health and Safety (Mines and Petroleum Sites) Regulation 2022 (NSW) .
Major mining hazard (Victoria)	A mining hazard with the potential to cause an incident that would cause, or pose a significant risk of causing, more than one death. Identifying one triggers the safety assessment and safety management system duties applying to operators of prescribed mines. Source: Occupational Health and Safety Regulations 2017 (Vic) , Part 5.3.
Prescribed mine (Victoria)	An underground mine, or a mine or class of mine that WorkSafe Victoria has determined to be a prescribed mine. Operators carry additional duties beyond those applying to all mine operators. Source: Occupational Health and Safety Regulations 2017 (Vic) .
Principal hazard (Tasmania)	A foreseeable hazard with a reasonable and not negligible potential to result in multiple deaths in a single incident, or one or more deaths across more than one incident, excluding the separately specified hazards for which major hazard management plans are required in any case. Source: Mines Work Health and Safety (Supplementary Requirements) Regulations 2025 (Tas) .
High potential incident (Queensland)	An event, or series of events, that causes or has the potential to cause a significant adverse effect on the safety or health of a person. Queensland's reporting threshold is expressed differently from the <i>notifiable incident</i> provisions applying in other jurisdictions. Source: Coal Mining Safety and Health Act 1999 (Qld) .

Part 4: Unit-specific guidance

4.1 Guidance applying to all units

Consultation with impacted workers. RIIRIS402 requires the candidate to identify and consult the *impacted workers* affected by the risks being assessed; RIIRIS501 and

RIIRIS601 require consultation at system level. Across these units, candidates should demonstrate that the right people are involved, that they have enough time and information, and that previous incidents, reports, alerts and industry guidance inform hazard identification.

Statutory positions. Where a candidate is undertaking a unit toward eligibility for a statutory position, RTOs must confirm current requirements with the relevant regulator before enrolment.

What a risk assessment must establish. WHS and mining safety legislation across Australia require *duty holders* to eliminate risk so far as is reasonably practicable and, where that is not reasonably practicable, to minimise it so far as is reasonably practicable. The terminology varies – some jurisdictions and frameworks use *as low as reasonably practicable*, *as low as reasonably achievable*, or an *acceptable level of risk* – but each obligation is substantially the same. For delivery, a risk assessment is not complete when a risk score has been recorded; it is complete when it establishes what controls are required, that they have been selected in accordance with the hierarchy of controls, and that risk has been reduced so far as is reasonably practicable. Source: [Model WHS Act](#), sections 17–18; [Model Code of Practice: How to manage work health and safety risks](#).

Simulated incidents (RIIWH301 and RIIRIS units). Access to an actual incident cannot be arranged and should not be waited for. The assessment conditions permit a live or simulated incident based on historical incidents. Where simulation is used, it should be built on a real incident with sufficient detail to require genuine evidence gathering and decision-making, rather than a scenario written to produce a predetermined answer. RTOs should account for the welfare of candidates and others, since simulating a fatal or serious incident may affect people who have experienced one. General simulation criteria are in the CVIG.

Document control. Documentary evidence may be admitted by work health and safety inspectors during an investigation or audit, particularly documentation of risk management processes and systems. Candidates create and maintain that documentation within the operation's own document control arrangements – version control, approval, ownership and review – and RTOs should contextualise delivery to the arrangements in use rather than to a generic standard. Where a unit requires the candidate to create or maintain risk management documentation, the record the candidate produces should be capable of standing as evidence that the activity occurred.

4.2 RIIRIS301 Apply risk management processes

Delivery context. RIIRIS301 is an operator-focused unit. Delivery contexts include carrying out risk assessments directly (demonstrating the full process) and participating in risk assessments as part of a group. It is the foundational risk management competency on which RIIRIS402 builds.

Dynamic risk assessment. Where RIIRIS301 is delivered to candidates in emergency response roles, the risk assessment they perform is continuous rather than convened, and is commonly described as *dynamic risk assessment*. This is not a requirement of the unit – the performance criteria are met through the workplace's own risk management processes,

whatever form they take – but the guidance is provided because RTOs delivering into emergency response asked how the unit is met where risk assessment is continuous. Assessment should be contextualised to the continuous process the organisation actually uses, including how changes are recognised, communicated to the response leader and team, and recorded after the response. RTOs should not expect the documentation associated with a task-level risk assessment, nor treat its absence as a failure to meet the unit. The CVIG contains the definition of dynamic risk assessment and further emergency-response guidance applying to RIIRIS301.

Assessor and industry expert requirement. When delivered and assessed in an emergency response context, the unit requires the assessor's or industry expert's experience to be directly relevant to an emergency responder role. General resources or civil experience does not satisfy this requirement in that context.

4.3 RIIRIS402 Carry out the risk management process

Consultation with impacted workers. The candidate must actively identify and consult the *impacted workers* affected by the risks being assessed – which differs from identifying who has the expertise to contribute – and escalate matters outside their expertise. Assessment should establish that the candidate can identify the limits of the group's own expertise and who is affected.

Psychosocial hazards. The candidate may encounter psychosocial hazards. These are subject to the same risk management duties as any other hazard: they must be identified, the risks assessed, and controls implemented in accordance with the hierarchy of control measures, with elimination applied so far as is reasonably practicable.

Facilitating a task-level risk assessment. Facilitation requires the candidate to lead a group through the risk management process. A realistic work group is required, comprising individuals with genuine knowledge of the work being assessed; an exchange between the candidate and one or two other learners is not a sufficient basis to assess facilitation. Where a workplace group is not available, the requirements for a simulated environment set out in the CVIG apply, and the simulation must provide a group of sufficient size and knowledge for facilitation to be genuinely demonstrated.

Recognising when a control is critical. The candidate must recognise which controls are most important to prevent serious harm, why they matter, and how to check they are in place and effective. This does not require working within a critical control management framework and applies to all operations regardless of whether such a framework is in place. Where such a control is absent or not performing, the candidate should recognise this as grounds to stop the affected work and escalate, rather than proceeding on the remaining controls.

Escalating and stopping work. Candidates at this level frequently hold supervisory authority and may be responsible for determining when work should stop and for setting stop-work criteria in advance. Assessment should establish that the candidate can apply the relevant distinctions in their own operation, identify the boundary of their authority, and know when to refer or escalate:

- *Authority boundaries.* Operations define the limits of each role's decision-making authority, in forms such as a delegation schedule, a decision matrix, or limits written into procedures. RTOs should ensure candidates can identify the boundaries of their own authority, who a matter is referred to, and what happens to the work in the meantime.
- *Escalating between assessment types.* Where a task-level risk assessment identifies a risk that cannot be reduced to an acceptable level with the controls available at the point of work, the matter should be escalated to a formal risk assessment rather than resolved at the task level.
- *The right to cease unsafe work* is a legislative entitlement: a worker may cease or refuse work where they have a reasonable concern of exposure to a serious risk from an immediate or imminent hazard.
- *A stop-work trigger* is an organisational control – a condition defined in advance which requires work to cease without further authorisation, so the decision does not depend on judgement under time pressure. Triggers may be specified in procedures, permits, hazard management plans, task-level risk assessments or, in operations applying critical control management, as performance triggers for critical controls. Where an operation has identified the controls most critical to preventing death or serious harm, the absence or failure of one is the clearest case for a defined stop-work trigger.
- *Graduated triggers.* Not every trigger requires work to cease. Operations commonly define graduated conditions where the required response at a lower level is to notify, increase monitoring or inspect, and only at a higher level to withdraw. RIIRIS402 distinguishes recognising when a trigger has been met and taking the action required at that level from recognising a stop-work trigger and ceasing the affected work. Candidates should be able to identify which level current conditions correspond to.
- *Responding when a worker stops work.* The candidate (supervisor) must be able to receive a worker's concern or exercise of the right to cease work, keep people safe while it is resolved, and escalate where resolution exceeds their authority – without treating the worker's exercise of the right as something requiring justification. RTOs should build this into assessment design, as the candidate stopping work on their own initiative does not demonstrate it.

Recognising normalised deviance. The unit's performance and knowledge evidence require the candidate to recognise when a departure from a required practice has become accepted as normal through repetition without adverse consequence, and to respond by escalating rather than allowing it to continue.

Recording non-consensus. Where a risk assessment does not reach consensus, the candidate must record the disagreement and how the decision was made. RIIRIS402's knowledge evidence addresses non-consensus on hazards, controls and stopping work.

Contextualisation. In mining and resources, the candidate typically facilitates a formal risk assessment under a safety and health management system. In civil infrastructure, they frequently facilitate the preparation of a SWMS for high risk construction work. In extractive and drilling operations, the process may be less formally documented, and contextualisation should reflect the documentation in use.

4.4 RIIRIS501 Implement and maintain management systems to control risk

Working at the level of the system. The distinction between the risk management *process* and the risk management *system* is central to this unit. The candidate must ensure risk assessments are conducted properly across the area, that controls are implemented and monitored, and that the system functions as intended.

Evaluating capability and identifying needs. The candidate must evaluate the system's capability and identify where improvement is needed, including training needs – not only individual deficiencies but patterns, such as recurring hazards that are not being controlled, risk assessments that are not being conducted or maintained, controls that consistently fail to perform, and gaps in the competency of those applying the system. Identifying patterns depends on analysing information over time; a candidate who can identify only isolated instances, without recognising the systemic issues they indicate, has not met this requirement.

Developing and reviewing hazard management plans. In jurisdictions and sectors where higher-consequence hazards are subject to statutory planning requirements, these plans are the regulated form of this activity, and the unit's hazard management planning will take that form. Where the workplace is not subject to statutory hazard planning, the unit is met through the workplace's own documented approach to managing higher-consequence hazards.

Responding when controls are not performing. The candidate must monitor control effectiveness and respond when controls are not performing as required, to meet the duty to eliminate or minimise risk so far as is reasonably practicable. Where a critical control management framework applies, this connects to the verification and performance-trigger concepts described at 2.2. Assessment should establish that the candidate can identify when a control is not performing, determine the appropriate response, and escalate where the matter is beyond their authority to resolve.

Delivery and assessment. Assess the candidate against a system they are genuinely responsible for implementing or maintaining. The scale and formality will vary and may not be geographic – responsibility may extend to ensuring processes are applied consistently and controls remain effective across an operational area, or across a particular hazard wherever it arises. Where the system is limited, focus on the substance of what the candidate does rather than the volume of documentation.

4.5 RIIRIS601 Establish and maintain risk management systems

Establishing the system and its governance. The unit requires the candidate to establish a risk management system, including the governance arrangements and accountabilities that support it – designing how risk is managed across the operation, determining who is

accountable for what, and documenting those arrangements. Where a system is already in place, the candidate may be assessed by *reviewing* it against the same criteria. Where the operation is subject to statutory requirements concerning management structure and accountability – most directly in Queensland under Recognised Standard 22 – those requirements shape how the system and its governance are established.

Analysing and maintaining the site risk profile. The candidate must analyse the operation's risk profile and maintain it over time. This is an organisation-level analysis drawing on incident data, audit and verification findings, regulatory notices and performance information, from which the candidate must determine where the operation's most significant risks lie and whether the system is managing them effectively.

Auditing and assurance. Assessment should establish that the candidate can plan and conduct an audit against defined criteria, analyse findings, and determine the required action. Assurance at this level extends beyond confirming that individual controls are in place to evaluating how well the system as a whole functions and matures over time. Effectiveness review, audit and, where used, maturity assessment are complementary ways to form a view of system integrity.

Delivery and assessment. The candidate requires access to a risk management system of sufficient scope to establish (or review), maintain, analyse and audit. Not every operation provides this; where a candidate's operation does not perform a function required by the unit, it may not be suitable for delivery in that context.

4.6 Definitions and examples: RIIRIS301, RIIRIS402, RIIRIS501 and RIIRIS601

These definitions interpret terms as they are used across the risk management units. Where an operation or an applicable instrument defines a term differently, that definition applies.

Term	Meaning
Risk management process	Time-bound and task-focused: what people do when managing risk for a particular piece of work – identifying hazards, assessing risk, implementing controls, monitoring and reviewing.
Risk management system	Site-level and ongoing: the policies, procedures, roles, records and governance within which those processes operate.
Relationship across the units	The <i>system</i> is established and maintained by those with management accountability; the <i>processes</i> are carried out within it. This is reflected in the progression: RIIRIS301 and RIIRIS402 – workers and supervisors apply and carry out processes within a system established by others; RIIRIS501 – managers implement and maintain the system that supports those processes; RIIRIS601 – senior managers establish the system and are accountable for its integrity. Role functions, not titles, should guide the scope of delivery and assessment, as titles vary across jurisdictions, commodities and operations.
Risk assessment	Considering what could happen if someone is exposed to a hazard and how likely it is, to determine the severity of risk, identify what is required to eliminate or minimise it so far as is reasonably practicable, and determine whether existing controls are effective.
Task-level risk assessment	A structured process workers undertake immediately before or during a task to identify hazards specific to that task and work area, confirm that controls established through broader assessments remain effective under the conditions present, and identify changes that may increase risk. In civil infrastructure and construction, the SWMS required for high risk construction work performs this function, although it is a statutory document with its own requirements.
Formal risk assessment	Examining hazards and risks at a broader organisational, operational or system level. Convened during planning or when a change occurs, to identify foreseeable hazards, determine the controls required, evaluate whether those controls reduce risk so far as is reasonably practicable, and inform the procedures and work instructions that follow. RTOs should confirm what a document does, not what it is called: some operations use “risk assessment” for both task-level and formal types, and some apply

	a formal-assessment name to a document that functions at task level.
Dynamic risk assessment	The continuous process of identifying hazards, assessing risk, monitoring, reviewing and taking action to eliminate or reduce risk in the rapidly changing circumstances of an operational incident – the same underlying process, compressed into a continuous cycle conducted while the situation is still developing and often before all material facts are known. Derived from the Code of Practice for Emergency Management in Western Australian Mines .
Control	A measure that prevents a hazard from causing harm or reduces the likelihood or consequences of harm. Under WHS legislation, controls are any measure used to eliminate or minimise risk, applied in accordance with the hierarchy of controls; administrative controls and personal protective equipment are control measures for these purposes. The ICMM Good Practice Guide defines <i>controls</i> within critical control management frameworks.
Hierarchy of controls	The ranked order in which control measures are considered, from elimination through to administrative controls and personal protective equipment. The units use <i>hierarchy of controls</i> ; the Model WHS Regulations use <i>hierarchy of control measures</i> . The two refer to the same thing.
Stop-work trigger	A condition the operation defines in advance at which work must cease without further authorisation – an organisational arrangement determined before work starts, not a judgement made at the time. Distinguished from the right to cease unsafe work.
The right to cease unsafe work	A worker's legislative entitlement to cease or refuse work they reasonably believe would expose them to a serious risk from an immediate or imminent hazard.
Impacted workers	Workers exposed to the risks being assessed, including contractors, subcontractors and labour-hire workers where present. Used in RIIRIS402 in preference to broader terms.
Escalation	Referring a matter to a higher level of authority because it exceeds the person's authority, competence or scope, rather than resolving it at the point of work.
Normalisation of deviance	The process by which a departure from a required practice becomes accepted as normal through repetition without adverse consequence. Named in RIIRIS402's performance and knowledge evidence.
Duty holder	A person or entity carrying a duty under WHS legislation. Where more than one duty holder has a duty in relation to the same

	matter, each retains their duty and must consult, cooperate and coordinate.
Auditing	Formal, independent evaluation, as distinct from the routine verification addressed at lower levels of risk management.
Maturity assessment	The structured evaluation of the capability, consistency and embeddedness of risk management practice across the organisation.

Examples

Task-level risk assessments may include, but are not limited to: Take 5; SLAM (Stop, Look, Assess, Manage); JSA (Job Safety Analysis); JSEA (Job Safety and Environmental Analysis); TRA (Task Risk Assessment); STM (Safe Task Management); FLRA (Field Level Risk Assessment); PRA (Personal Risk Assessment); LMRA (Last Minute Risk Assessment).

Formal risk assessments may include, but are not limited to: baseline, operational and project risk assessments; HAZID; WRAC; bowtie analysis.

4.7 RIICOM301 Communicate information

Communication in RII contexts. This unit covers communication in RII contexts; assessment should focus on the communication, not the technical task being carried out. In relation to risk management, communication includes consultation on hazards and controls, communicating risk assessment outcomes, reporting incidents and hazards, and handing over information between shifts.

Verbal and radio communication. In this unit, real-time verbal communication and radio communication are inherent requirements. They reflect the safety-critical operational contexts in which the unit applies, where information must be conveyed and confirmed in real time, and radio is a primary sector channel. RTOs should identify these as inherent requirements when advising candidates prior to enrolment, so candidates can make an informed decision and adjustments can be planned early. Reasonable adjustment applies to the method by which a candidate demonstrates these requirements - for example through assistive technology or augmentative and alternative communication - not to the requirement to convey and confirm information in real time. Telephone and email form part of the unit's electronic communication range and generally carry greater scope for adjustment. Refer to the main Companion Volume Implementation Guide for the distinction between inherent requirements and adjustable aspects of assessment.

Communicating through challenging workplace situations. This is the most substantial change to the unit in this release, extending it beyond conveying information into managing difficult interactions. Conflict, aggression, distress and the communication of unwelcome information are situations in which psychosocial hazards may arise for the candidate as well

as others. Where a situation exceeds the candidate's authority or competence, the required response is to escalate rather than manage it alone. Assessment should establish that candidates can recognise both.

Confirming that information has been understood. Confirmation is an active step. An attendance sheet, signed acknowledgement, or read-and-understood register establishes that communication occurred, not that it landed. Confirming understanding requires evidence back from the recipient – an explanation in their own words, a description of what they will do differently, or the circumstances in which they would stop and seek advice. The robustness of the confirmation should be proportionate to the consequences of misunderstanding.

Escalation and relevant legislation. Where the unit requires escalation under relevant legislation, this includes incident notification and reporting obligations that apply in the jurisdiction and sector of delivery. Candidates must identify the specific reporting or escalation obligation applicable to the situation assessed, rather than demonstrate only a general awareness that an obligation exists.

Consistency with the workplace risk management system. Communications should be consistent with the system's terminology, reporting lines and priorities, particularly for safety-critical information. At an operation applying a critical control management framework, this includes communicating the status and performance of critical controls in the operation's own terms.

Shift reports. Where a written shift report is used as evidence, it should contain the information necessary to convey the status of the operation to the incoming shift or supervisor.

Contextualisation across sectors. In mining and resources, communication often occurs within a safety and health management system and may involve statutory reporting lines. In civil infrastructure, it spans multiple contractors on a shared site. Each system determines the reporting lines and audience for the communication assessed. Communication in these industries frequently takes structured forms – toolbox talks, pre-start meetings, shift handovers, safety interactions – which are contexts for the competency, not unit requirements.

4.8 Definitions: RIICOM301

Term	Meaning
Written shift report	A written supervisor shift report, required under mining safety legislation in some jurisdictions and established practice more broadly, and commonly incorporated into safety and health management systems. Content commonly includes: date and shift time; work area/site status; plant and equipment status; isolation status; active hazards and controls; incidents and near misses; ground, environmental and weather conditions; outstanding maintenance issues; workforce and competency issues affecting safety; work requiring follow-up by the next shift; permits,

	authorisations and critical controls; and outgoing and incoming supervisor sign-off and acknowledgement.
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4.9 RIIWHS301 Conduct initial safety and health investigations

Scope. The unit scope is deliberately confined to the *initial* stage. Several performance criteria are framed as contributing to an activity, or as acting in accordance with the candidate's own role. The unit does not extend to leading a formal investigation, determining findings independently, or conducting the kind of investigation carried out by a regulator or dedicated investigation team. Candidates participate in investigations that are subsequently escalated; applying sound practice at the initial stage preserves the quality and integrity of information for those who take the investigation further.

Investigation context. Notification categories, thresholds, timeframes and scene preservation requirements differ between jurisdictions, and mining and resources legislation applies additional obligations. State and territory regulators publish investigation guidance for the workplaces they regulate, including guidance specific to mines. RTOs should use guidance applicable to the jurisdiction and sector of delivery rather than generic material, and should contextualise to the operation's own investigation procedure.

Initial response. The following describe how the unit's initial-response and evidence-handling requirements present in practice. They are not additional requirements:

- *Prioritise people over evidence.* The welfare of affected and exposed persons takes precedence over preserving the scene; making the area safe and preventing further harm are permitted despite the preservation duty.
- *Preserve before interpreting.* Physical evidence and site conditions change quickly; recording and securing them precedes analysis. Assessment should establish that the candidate acts on this sequence rather than reciting it.
- *Record at the time.* The candidate should make notes, photographs, sketches and measurements contemporaneously, recording the time, date and person making the record, rather than relying on later recollection.
- *Maintain continuity of evidence.* Where items are collected or moved, record what was collected, by whom, when, and where it was stored, maintaining the chain of custody so the evidence can be shown not to have been altered or substituted and its admissibility is supported.
- *Record decisions and reasons.* Where a decision is made during the initial response – to move plant, release an area, alter the scene, or escalate – record what was decided, why, by whom and when, at the time or as soon as practicable, in detail proportionate to the significance of the decision.
- *Work within the role.* Escalate, rather than resolve, matters exceeding authority, competence or scope, including decisions about investigation scope, engagement of subject matter experts, and interaction with regulators.
- *Handle personal information appropriately.* Investigations involve personal, and sometimes health, information about identifiable individuals. Collect, record, store and share it only as necessary and in accordance with workplace procedures and applicable privacy obligations.

- *Investigate to prevent, not to blame.* The candidate should be able to explain why an investigation focused on attributing fault produces poorer information, discourages reporting, and is less likely to identify systemic factors. RTOs should design assessment so a blame-oriented response is visible rather than rewarded.
- *Support participation.* Workers directly affected, and their health and safety representatives, should have the opportunity to participate, and consultation obligations continue to apply during an investigation.

Investigation. The unit does not require competence in any particular investigation method, and nothing here recommends one. RTOs should contextualise delivery and assessment to the process used in the operational environment. Most operations apply different levels of investigation according to the actual or potential severity of the incident; a candidate holding RIIWHS301 typically contributes across these levels rather than leading, with the extent of their contribution decreasing as severity increases:

Level	Typical scope	Applicability to RIIWHS301
Initial / local	Lower-severity incidents and near misses, investigated within the work area	May carry out the investigation within their role, with support
Formal / significant	Higher-potential incidents, investigated by a nominated team using a structured method	Initial response, evidence collection, contribution to findings
Major / notifiable	Fatalities, serious injuries and dangerous incidents; regulator involvement likely	Initial response and scene preservation, then support to the investigation team

Notification and preservation of the incident scene. The obligation to notify the regulator arises immediately upon becoming aware that a *notifiable incident* has occurred, and may involve any person affected by the conduct of the business – a worker, contractor or member of the public. Where an incident is notifiable, the person with management or control of the workplace must ensure, so far as is reasonably practicable, that the site is not disturbed until an inspector arrives or the regulator directs otherwise; permitted actions include assisting an injured person, removing a deceased person, making the site safe, supporting a police investigation, and complying with an inspector's direction, and the duty extends to preserving plant, substances and structures associated with the incident. These permitted actions form the basis for the candidate's immediate steps in the initial response. The categories of notifiable incident, the timeframes, and the additional reporting obligations in mining and resources differ between jurisdictions and sectors.

Assessing seriousness and reporting obligations. In responding to an incident, the candidate should consider its seriousness and whether it gives rise to an external reporting obligation – some incidents must be reported to the regulator immediately, and some engage obligations to other authorities. Determining whether an incident is notifiable, and to whom, is part of responding to it, not a separate step that follows later. The candidate should

also ensure the incident is reported to relevant parties within the operation, including any elected health and safety representative for the work group; representatives are often informed late, and involving them early supports both the investigation and consultation obligations. Applicable external reporting obligations vary by jurisdiction and sector.

Causation within the candidate's role. The knowledge evidence requires the candidate to distinguish cause from correlation and to recognise techniques for identifying underlying system factors rather than surface-level observations. It does not require the candidate to determine causation independently, and RTOs should not assess root cause analysis as an independent activity. The distinction that matters for delivery is between something present at the time of an incident and something that contributed to it: a factor appearing alongside an incident is not thereby a cause, and an absent or failed control is a contributing factor rather than an incidental observation. Where determining causation exceeds the candidate's role, competence or authority, it is escalated.

Investigation plans and simulated incidents. The unit requires the candidate to collect evidence in accordance with an investigation plan and to follow one, and separately to know what an investigation plan contains. These are different demands: the candidate must be able to work to a plan prepared by others and explain what a plan should include, but is not required to prepare a full plan independently. RTOs should ensure candidates have access to the operation's investigation plans, as required by the assessment conditions, on simulated incidents.

4.10 Definitions: RIIWHS301

Term	Meaning
Chain of custody	The record of what evidence was collected, by whom, when, and where it has been held, maintained continuously from collection so that the evidence can be shown not to have been altered or substituted.
Notifiable incident	An incident that must be notified to the regulator. Categories, thresholds and timeframes differ between jurisdictions, and mining legislation applies additional obligations.

References

- [Safe Work Australia](#) – model WHS Act, model WHS Regulations, and model Codes of Practice, including *How to manage work health and safety risks* and *Work health and safety consultation, cooperation and coordination*.
- International Council on Mining and Metals (ICMM), [Critical Control Management: Good Practice Guide \(2026\)](#).
- AS/NZS ISO 45001:2018 *Occupational health and safety management systems*.