

RIIRIS402E CARRY OUT THE RISK MANAGEMENT PROCESSES



ASSESSMENT TASK PORTFOLIO

STUDENT NAME:

COURSE DATE:

Sections

Section 1 – Theory Questions

Section 2 – Practical Assignment

Summary Sheet

Assessment Requirements

The assessment activities in this Assessment Task Portfolio assess all the elements, performance criteria, skills, and knowledge of the unit of competency RIIRIS402E Carry out the risk management process.

To demonstrate competence in this unit, you must undertake all tasks in this Assessment Task Portfolio and complete them satisfactorily, as well as successfully complete your work placement. If you do not answer some questions or perform some tasks, you will be deemed 'Not Competent', and your trainer/assessor may ask you supplementary questions to determine your competence. In addition to completing all tasks satisfactorily, you will also be required to demonstrate satisfactory communication skills during some practical activities. Once you have demonstrated successful completion and consistency in performance, you will be awarded this unit.

Should you still be deemed Not Yet Competent, you will have the opportunity to undertake a supplementary assessment or appeal the result.

As part of the assessment process, all students must abide by any relevant assessment policies as provided during induction.

If you feel you are not yet ready to be assessed or that this assessment is unfair, please contact your assessor to discuss your options.

RIIRIS402E: Carry out the Risk Management Processes - REFRESHER

Course Description

The RIIRIS402E Carry out the Risk Management Processes REFRESHER course covers the skills and knowledge required to carry out Risk Management Processes in the resources industries. RIIRIS402E includes:

- Determining the risk management process
- Identifying hazards
- Assessing risk
- Identifying unacceptable risks and potential actions
- Deciding on, implementing or facilitating of actions
- Reviewing the implementation of action
- Auditing the risk management process; and
- Completing records and reports.

Pre-requisite Requirements

Candidates must supply evidence of completion of the national competency unit RIIRIS402 Carry out the risk management processes issued less than 5 years ago. In addition, you must either be or have been employed recently as a supervisor/manager/risk facilitator in the resources sector (or be able to access sites in this sector), including Mining, Gas, Oil, and Exploration.

Course Outline

This distance learning refresher course requires 1 nominal day to complete; although some may finish this course in a quicker timeframe, studying through an online or distance learning mode does not automatically equate to completing this course in a quicker timeframe.

Assessment

This course requires site evidence, including a suite of tasks that you must perform to a satisfactory standard. It also requires a testimonial by your manager that you are able to satisfactorily perform at the required standard of the performance criteria of this competency. If you do not yet have a relevant workplace to complete the site evidence, we will issue you a Statement of Completion of the theoretical components, and upon submission of the site-based evidence and manager's testimonial, we will then issue the full completion or Statement of Attainment.

Application of Unit

This unit is appropriate for those working in supervisory and risk management technical specialist roles within the resources industries.

Assessment / Award

This nationally recognised training program provides participants with the unit of competency required to achieve a Statement of Attainment.

Target Audience

Supervisors/Managers on a resource project who are required to oversee risk studies.

Timelines

You will be given **six (6) weeks to complete** all of the assessment tasks, at which time your enrolment expires. In circumstances where your enrolment has expired, OHSA may choose to charge an additional fee to extend the enrolment or may choose to refuse your re-enrolment application.

Entry Requirements

Current G2 (less than 5 years old) as well as current or very recent experience in the resources industries is required as you are required to gather industry-specific site evidence, perform industry-relevant site activities and gather industry testimonials.

To successfully complete these units of competence, it is necessary that you:

- Have sound English literacy skills to read and comprehend information from a variety of sources and compile documents;
- Are able to apply technical literacy and communicate sufficiently to interpret and apply common industry terminology and interpret work procedures and processes;
- Have a range of communication strategies to communicate effectively with people at all levels of an organisation;
- Be able to question and listen actively, e.g., when obtaining information on technical working practices.
- Are able to write effectively to allow report writing;
- Have organisational and time management skills to sequence tasks and meet timelines;
- Access to reliable fast speed broadband internet;
- Access to a computer;
- Familiarity with Office Word and PDF documents;
- Familiarity with email;
- Access to a fax machine and the ability to print, scan and email documents.

Ideally, you will have access to a workplace or have experience of a workplace in the resources industry.

Course Instructions:

All personal details are collected only for the purpose of issuing Statements of Attainments or qualifications. Nationally accredited courses require that we keep the details below (full privacy policy available on request).

All students must complete all of the following:

Student Name:		
Date Submitted:		
1.	Complete and submit enrolment form with USI, statutory declaration, and submit photographic identification evidence.	<input type="checkbox"/>
2.	Complete the attached REFRESHER assessment including follow up questions on the RA completed (see section 2 below)	<input type="checkbox"/>
3.	Submit two (2) different instances of each of the following: <ul style="list-style-type: none"> 2x Facilitated Risk Assessments (JSA / JHA / SWMS/WRAC/Bow-Tie) that you have significantly contributed to /facilitated including the follow up questions. 2x Risk Assessment Reviews of a JSA/JHA/JSEA/SOP/WRAC/Bow-Tie from your company and attach the document you reviewed; 2x Inspection or audit and report of an area, task, plant or process using your site documentation. 	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
4.	Submit the completed, signed and dated Manager's Testimonial (attached herewith).	<input type="checkbox"/>
5.	Submit a copy of your current RIIRIS402E Carry out the risk management processes - Statement of Attainment. (or its predecessor)	
6. Declaration (Compulsory): <i>I declare that the work I have submitted for this course is my work and no-one else's. I have not copied any other person's or previous student's content when completing this assessment. I understand and agree to be contacted by an assessor to answer a sample of questions from this course assessment. I understand that if I am unable to satisfactorily provide sufficient responses to these questions my qualification will either not be issued or I will be required to return it. I also accept that OHSA may report any suspicious or fraudulent behaviour to the relevant regulatory bodies or statutory authorities. I agree to these terms and conditions.</i>		<input type="checkbox"/>
Student Signature:		Date:

Course Requirements

Step 1: You must complete the attached theory assessment:

- RIIRIS402E Carry out the Risk Management Processes - REFRESHER

Step 2: You must submit to us the following:

- a. Two (2) Facilitated Risk Assessments (JSA / JHA / SWMS/WRAC/Bow-Tie) that you have significantly contributed to /facilitated, including the follow-up questions for each RA;
- b. Two Risk Assessment Reviews of a JSA/JHA/JSEA/SOP/WRAC/Bow-Tie from your company and attach the document you reviewed – you may choose to use the attached Risk Assessment Review Template form at the rear of this document;
- c. Two inspections/audits and reports you have conducted of an area, task, plant or process using your site documentation;
- d. A copy of your current RIIRIS402 Carry out the risk management processes - Statement of Attainment and the completed, signed and dated Manager's Testimonial (attached herewith);
- e. Complete the REFRESHER Course Assessment (exam), Course Instructions and Assessment Summary Sheet signed and dated, your enrolment form, and AQTF Learner Feedback Form, Submit photographic identification evidence, provide the completed Statutory Declaration and provide your USI.

Note: Please keep copies of all documentation you submit to us in case they are misplaced.

Step 3:

Successful completion of Steps 2 & 3 will result in the participant being issued with a Statement of Attainment for one unit of competency in partial completion of *RII40215 - Certificate IV in Surface Coal Mining (Open Cut Examiner)*. This competency satisfies the partial requirements for the role of Industry Safety Representative, Open Cut Examiner and ERZ as determined by the Coal Advisory Safety Committee in accordance with s.82 of the Coal Mining Safety and Health Regulation 2017 (Qld).

Step 4:

The OHSA assessor will mark the online and submitted work. In the event that a participant is deemed not yet competent, you will still be contacted by OHSA to discuss options for achieving competency. The participant also has the option to appeal the assessment decision. The appeals process is outlined in the course information handout given to each candidate, and the appeals form is available from the Training Coordinator at OHSA or can be found on our website at http://www.ohsa.com.au/student_handbook.htm

Submission of YOUR workplace evidence

The documents/testimonials should be submitted either by email or post to OHSA at the address below or g2@ohsa.com.au. If you are mailing the material, please retain a copy for your records and send the originals to:

Training Co-ordinator - OHSA Occupational Health Services Australia Pty Ltd

PO BOX 336 PALM BEACH QLD 4221

E: g2@ohsa.com.au

P: 1300 647 200

F: 1300 852 970

DUE DATE

All course assessment tasks must be received within **six (6) weeks** of enrolment. If you require an extension, you will need to submit this in writing to g2@ohsa.com.au. A fee may be charged for the extension. OHSA will endeavour to mark your assessments ASAP; however, please allow a week to have an assessor mark and respond with any feedback or rectifications.

Manager/Supervisor's Testimonial

Name of Candidate:			
Unit/s:		RIIRIS402E: Carry out the risk management processes	
<p>This Candidate is being assessed against the above Unit of Competency. You have been nominated as a person who can comment on the candidate's ability in these areas. Please do not complete the form if you are either a close friend or relative or may have a conflict of interest. If you believe that the individual needs to further develop the knowledge or skill level in any of these areas, please make the appropriate comments on this form. If you have not witnessed all elements, please don't tick the corresponding box.</p>			
<input type="checkbox"/> Direct Supervisor <input type="checkbox"/> Manager <input type="checkbox"/> Other: (please state the nature of the relationship)		Name:	
		Position:	
		Address:	
		Telephone:	
		I have known the candidate for () years.	
Can you confirm that the Candidate has competently demonstrated to you the following:			Yes
1. Ability to locate and have appropriate knowledge and understanding and application/implementation of relevant site WH&S documentation including site WH&S Management System incl Policies, relevant legislation, SOP's / SWI's, JSA/JHA, Take 5 etc documents.			<input type="checkbox"/>
2. Demonstrated ability to monitor and review compliance with site based WH&S instructions and site requirements.			<input type="checkbox"/>
3. Identifies appropriate scoping of risk assessments including documenting parameters of the assessment.			<input type="checkbox"/>
4. Ability to conduct adequate risk assessments including identifying hazards based on site circumstances/history/precedent, identify persons at risk if loss scenario occurred, assessing risks, choosing appropriate risk treatments/controls and monitor and review the controls effectiveness.			<input type="checkbox"/>
5. Works effectively with others to undertake and complete the application of risk management process that meets the required outcomes including; complying with written and verbal reporting requirements and procedures; communicating clearly and concisely with others to receive and clarify work instructions; communicating clearly and concisely with others to coordinate and share outcomes work activities; engaging co-workers, employers and supervisors in the risk management processes and seeks advice/clarifies requirements with experts (as per internal policy) if risk is unacceptable			<input type="checkbox"/>
6. Demonstrated ability to facilitate a risk assessment exercises for others providing clear and timely coaching and instruction			<input type="checkbox"/>
7. Demonstrated ability to ensure site-based risk management processes, rules, regulations, procedures etc are correctly identified, located, communicated, implemented and enforced by the candidate.			<input type="checkbox"/>
8. Identifies (and provides opportunity for others to identify) hazards and implement action plans, identify hazards with possible long term effects on others, identifies appropriate risk score using hazard analysis and selects and implements appropriate controls using the hierarchy of control to reduce risk to ALARA			<input type="checkbox"/>
9. Ability to determine and facilitate a review process to ensure implementation and application of risk controls in accordance with risk assessment outcomes, new or revised work procedures and accident investigation outcomes and to ensure continuing effectiveness in the changing work environment using problem solving techniques as appropriate and follows up as appropriate.			<input type="checkbox"/>
10. Demonstrated ability to conduct a site audit of the risk management processes and work procedures to ensure compliance and effectiveness and recommends appropriate changes during audits in a systematic and timely manner. Complete and retain all site risk management documentation covering the reason for, and changes made.			<input type="checkbox"/>
11. Produce, process, and maintain all risk management documentation and reports as per company policy.			<input type="checkbox"/>
Signed:		Date: / /	
Please provide some comments to support your responses:			

Commonwealth of Australia
STATUTORY DECLARATION
Statutory Declarations Act 1959

Insert the name, address and occupation of the person making the declaration.

I, (name).....

Of, (address)

In the State of (insert State) Postcode

Make the following declaration under the *Statutory Declarations Act 1959*:

"That I completed the RIIRIS402E Carry out the Risk Management Processes Refresher assessment by myself without any assistance from any other person other than, when requested, an OHSA trainer/assessor. Any submission of workplace evidence as required by this course has been completed by myself or by myself and with other team members of my organisation. I have contacted OHSA to seek clarification of any matters or concepts that I am unsure of or do not understand and am now satisfied that I understand the concepts required at this level of competency."

I understand that a person who intentionally makes a false statement in a statutory declaration is guilty of an offence under section 11 of the *Statutory Declarations Act 1959*, and I believe that the statements in this declaration are true in every particular.

Signature:

.....

(To be signed only in the presence of a JP or CDEC)

To be completed by a Justice of the Peace.

The above applicant has signed the statutory declaration in my presence and has provided photo identification (Driver's Licence, Passport or Student Card).

Taken and Declared before me, at *(place)*

.....

.....

On the *(day)*..... of *(month)*and *(year)*

Full name,

Qualification

Address

of person before whom the declaration is made (in printed letters)

Justice of the Peace stamp or signature

A Justice of the Peace or Commissioner for Declarations

*Note 1 A person who intentionally makes a false statement in a statutory declaration is guilty of an offence, the punishment for which is imprisonment for a term of 4 years — see section 11 of the *Statutory Declarations Act 1959*.*

*Note 2 Chapter 2 of the *Criminal Code* applies to all offences against the *Statutory Declarations Act 1959* — see section 5A of the *Statutory Declarations Act 1959*.*

Section 1 – Theory Questions

Instructions to the Student

Please read all the information given to you before you start any assessment task. If you do not understand some or all of the questions, please ask your trainer/assessor for assistance. If you are uncomfortable with any of these questions, please contact your assessor, who will make alternative arrangements. Attempt to answer **ALL** questions in your own words on the assessment paper provided. The questions are designed to assess your understanding of the unit as well as your underpinning knowledge.

To satisfactorily complete this assessment task, you are required to complete the whole assessment. To do this, you will need to answer all questions correctly and demonstrate you have achieved the required knowledge to industry standards. This assessment is intended to be equitable, fair and flexible. If you feel that we should change any aspect of this assessment to be fair, equitable or flexible, immediately contact your assessor, who will attempt to make alternative arrangements.

Please Note:

1. This assessment may be re-assessed upon appeal.
2. Upon notification of your assessment results, your trainer/assessor is able to provide you with additional information on interpreting the assessment outcomes and guide you on your future options.

1. List 2 objects of the Coal Mining Safety & Health Act 1999 (Qld).

2. Explain the difference between a hazard and a Principal Hazard as per the Coal Mining Safety and Health Act 1999 Qld.

3. What must a Principal Hazard Management Plan (PHMP) include according to the Coal Mining Safety and Health Act 1999 Qld?

4. What is the definition of a RISK as per s.18 of the CMSHA 1999 (Qld)?

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5. What is the definition of Hazard as per s. 19 of the CSMHA 1999 (Qld)?

6. According to s.62 of the CSMHA 1999 (Qld), how might the Safety & Health Management System achieve an acceptable level of risk? List 2 ways.

7. Access the University of Queensland's Minerals Industry Safety and Health Centre (MISHC) website and locate the Mining Hazard Database at <https://www.business.qld.gov.au/industry/mining/safety-health/mining-safety-health/hazards> and list 1 General Mining Hazard, 1 Safety Alert, 1 Safety Bulletin, 1 Significant Incident that would be relevant one task etc you are familiar with. (ie. All must be relevant to the same task/thing etc.)

General Mining Hazard	
Relevant Safety Alert	
Relevant Safety Bulletin	
Relevant Safety Incident	

8. Briefly explain your internal process for obtaining or reviewing copies of the following documents.

PHMP -
Completed incident reports -
Policies and procedures -

9. Explain below a typical mining process/task at your workplace (i.e. installing vent bags) and list 3 of the main hazards in that process, list the hazard level (low, medium, high etc) and outline the usual controls that your site employs.

Mining Task:
Description of Task:

Hazard	Hazard Level	Usual Risk Control
1.		
2.		
3.		

10. Using your own company's risk management policy and procedures - List three (3) ways you could identify a hazard at your site.

11. What are the benefits of using hazard and risk registers?

12. List the 5 Steps of the Risk Management Process.

1.
2.
3.
4.
5.

13. Name three (3) health hazards.

14. When shall risk be deemed to be within acceptable limits or ALARA according to your company's procedure?

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15. List 5 types of hazard defences (see your study guide) and list examples of each for your workplace.

•
•
•
•
•

16. List 5 steps as suggested in *'Figure 3 Suggested JSA Procedure Flowchart'* on page 11 of the *Guidance Note QGN 17 Development of Effective Job Safety Analysis (attached in the suite of documents for this course)*.

1.
2.
3.
4.
5.

17. List four (4) advanced-formal Risk Assessment Techniques according to the document *'The Application of Major Hazard Risk Assessment (MHRA) to Eliminate Multiple Fatality Occurrences' in the U.S. Minerals Industry* document produced by Centre's for Disease Control and Prevention National Institute for Occupational Safety and Health.

18. According to the document, *'The Application of Major Hazard Risk Assessment (MHRA) to Eliminate Multiple Fatality Occurrences' in the U.S. Minerals Industry'* document produced by Centre's for Disease Control and Prevention National Institute for Occupational Safety and Health explains what a Workplace Risk Assessment and Control (WRAC) is and when would it be used. You may also consider reviewing section 5.1.4.1 on pages 25&26 and Table 13 to assist you with this answer.

19. List five (5) of the nine (9) items that should be considered in the Risk Assessment Design (scoping) for a Major Hazard Risk Assessment suggested in the document *'The Application of Major Hazard Risk Assessment (MHRA) to Eliminate Multiple Fatality Occurrences' in the U.S. Minerals Industry'* document produced by Centre's for Disease Control and Prevention National Institute for Occupational Safety and Health at section 4.1.

20. According to the NSW Department of Primary Industries *'Risk Management Handbook for the Mining Industry, MDG1010 May 1997 lists 5 essential features of the risk assessment process as outlined in section 7.1.*

21. According to the NSW Department of Primary Industries *'Risk Management Handbook For the Mining Industry, MDG1010 May 1997 lists 5 essential contents of a risk assessment report as outlined in section 7.2.*

22. According to the *'National Minerals Industry Safety and Health Risk Assessment Guideline, Joy, J & Griffiths, D 2007'* (attached with the suite of documents to this course) at 4.1.1E *Information for major or principal hazard plans*, what risk identification tools could be used to assist with determining the acceptability of a risk. List 3.

23. List the five (5) steps to an audit.

24. When should you act on a high-risk non-conformance identified by an audit according to your own company's policy and procedures?

25. Discuss what the hierarchy of control is and how it should be used when facilitating risk assessments.

26. Where there is no Regulation or Code of Practice/ Recognised Standard, an employer may choose to demonstrate reasonable precautions and proper diligence through the Risk Management Process.

- a. ☐ True
- b. ☐ False

27. What section of the Coal Mining Safety and Health Act 1999 Qld defines a Supervisor?

- a. ☐ s.25
- b. ☐ s.24
- c. ☐ s.62
- d. ☐ s.26

28. Which of the following activities could assist in ensuring effective controls?

- a. ☐ Developing work procedures
- b. ☐ Communicate with workers about the implementation
- c. ☐ Provide training and instruction to workers
- d. ☐ Supervise and enforce control measures
- e. ☐ All of the above

29. Which of the following ways could you review the controls?

- a. ☐ Job observations
- b. ☐ Safety interactions
- c. ☐ Monitoring & or Reviewing
- d. ☐ Audits & or Inspections
- e. ☐ All of the above

30. What Section of the CMSHA defines the meaning of Consultation?

- A. ☐ Section 13
- B. ☐ Section 23
- C. ☐ Section 10
- D. ☐ Section 34

31. Under Section 32 of the CMSHA Cooperation at a Coal mine includes

- A. ☐ The election of site safety and health representatives under; and
- B. ☐ The process of involving coal mine workers in the management of risk.
- C. ☐ SSE achieving outcomes by discussing issues with other Executives
- D. ☐ A and B only

Section 1 – Theory Questions - Result

Student Comments – Specify any improvement you could recommend relating to this assessment.

Assessment Results (mark one)

☐ Satisfactory / Not Satisfactory ☐

Assessors Comments about the assessment (include any details of reasonable adjustment or other consideration)

Section 2 – Practical Activities

This assessment requires you to complete the below activities and return them to your trainer. The unit of competency RIIRIS402E is designed to be assessed in a real risk-facilitated process rather than simulated classroom activities.

If you are uncomfortable with any aspect of the assigned tasks, please contact your assessor, who will try to make alternative arrangements. This assessment is intended to be equitable, fair and just. If you feel that we should change any aspect of this assessment to be fair, equitable or just, immediately contact your assessor, who will attempt to make alternative arrangements.

Practical tasks:

Submit two (2) different copies of the following:

Part A:

2 x different facilitated risk assessments (JSA / JHA / SWMS/WRAC/Bow-Tie) that you /facilitated. (*i.e. NOT participated in*). To align to the unit of competency and also best practice risk facilitation processes, you will be asked a series of follow-up questions for EACH of the risk assessments you conducted. Both sets of questions are required to be answered.

Part B:

2 x different risk assessment reviews of a JSA/JHA/JSEA/SOP/WRAC/Bow-Tie from your company and attach the document you reviewed (see sample template below if you don't have a company document);

Part C:

2 x different Audits and reports of a task or process using your site documentation.

Once completed, please send the above documentation to **g2@ohsa.com.au**

Part A: For each of your facilitated risk assessments, refer to the following dot points. You will be asked a series of follow-up questions.

A. Facilitated risk assessment task. Throughout the planning and facilitation process you are to follow the below process on two separate occasions:

Plan:

- Access, interpret and apply your sites risk management documentation including policies/procedures/templates/team requirements etc.
- Based on your organisational policies Identify and determine the process to be used for risk management relevant for the task/activity chosen
- Identify, develop and document parameters of the risk assessment task through an appropriate scoping process
- Access, interpret and apply the information/data required to complete the risk assessment task

Hazard ID:

- Identify and confirm and discuss with your team the types of potential hazards by reference to site circumstances, history and/or precedence and establish the team process for hazard identification.
- Undertake routine hazard identification as part of the facilitation process relevant to the risk assessment methodology chosen.
- Analyse the hazard identification process or parts of the process completed in the above points, to identify and prepare written documents to communicate loss scenarios
- Document hazard identification process used

Assess risks:

- Determine the likelihood of the loss scenario to workers/business/others at risk of exposure
- Analyse and determine the consequence if the loss scenario should occur
- Determine the risk level of the loss scenario via using varying tools and processes as suited to the type of risk assessment
- Seek advice from experts (SSE or others according to your policy) if findings are ambiguous/unclear to determine.
- Document/communicate the risk assessment as per your company's policies and procedures.

Action and risk control:

- Identify and assess existing controls with your risk team and discuss/evaluate other feasible risk control options using the hierarchy of controls and your policies and procedures.
- Select appropriate control ensuring ALARA
- Clarify the decision with the work team and document the selected controls and resource requirements.
- Select most appropriate risk controls for the situation from the feasible options
- Discuss with your risk team to clarify the decision and confirm the selected course of action following analysis of resource requirements, cost, safety and welfare issues within site constraints.
- Prepare written document outlining the selected course of action and resources required

Implement:

- Implement the controls directly, or facilitate implementing the course of action plan through others
- Communicate to all parties relevant information related to the new/revised work procedures and action plans as per your company policy
- Evaluate requirements by observing the impact of information and implemented action plans
- Coach others to effectively carry out action plans through verbal means during the facilitation or via the action plan developed.
- Determine/document and facilitate an ongoing review process for implementation and application of risk control as required
- Follow up anomalies with relevant parties as required.
- Produce and process all written risk management documentation and reports and;
- Maintain all written risk management documentation and reports as per company policies; and

Follow up Questions to be completed:

On the following page complete the series of questions for each of the risk assessments facilitated to identify that key points have been discussed as part of the facilitated process.

Part B: Conduct a risk assessment review on two completed risk assessments. You may use the risk assessment review template provided below or a template from your organisation. Ensure a copy of the risk assessment, which is reviewed is included in the assessment paperwork.

For the risk assessment review please complete the following on two occasions.

- Conduct critical audits of two **risk management processes** and amend as required.
- Throughout the process consult with others to identify improvements and respond to changed requirements systematically and succinctly.
- Document this process on the approved company template or form.
- Produce and process and all written risk management documentation and reports and;
- Maintain all written risk management documentation and reports as per company policies;

Part C: Conduct two procedure audits on approved company forms and submit with your assessment.

Work procedure audit

- Conduct critical audits of **two work procedures** and amend accordingly as per own role and organisational policy.
- Throughout the process consult with others to identify improvements and respond to changed requirements systematically and succinctly.
- Document this process on the approved company template or form. Complete and retain all written risk management documentation covering the reason for, and changes made

Part A: Facilitated Risk Assessment Follow-Up Questions.

For each of the two facilitated risk assessments, please respond to the following.

Risk Assessment Number 1: Title of Risk Assessment: (Ensure a copy of the RA is provided with the assessment paperwork)

Title of RA: _____

1. Why was this particular risk management process (JSA/WRAC, etc) chosen over another?

2. Document the parameters (scope) of the risk assessments

3. What hazard identification process/es did you and your team use?

4. What workers would be at risk of exposure to the hazards you identified?

5. Who did you (or could have) seek advice from to clarify unacceptable/ambiguous/doubtful levels of risk?

6. Who did you (or would you) need to communicate the findings of the risk assessment to/with?

7. According to your company's policy, how would the outcome of the risk assessment be recorded/stored?

8. Explain how you would implement the risk controls for this risk assessment, including how and who you could coach to carry out the action plan effectively.

9. What resources would you need to implement the controls?

10. Outline how you facilitated the review process of the effectiveness of the implemented risk assessment and how you would respond if the controls implemented were not sufficient.

11. Based on this risk assessment and according to your policies and procedures, who would you follow up on any anomalies/shortcomings/issues with during implementation?

Part A: Facilitated Risk Assessment Follow-Up Questions.

For each of the two facilitated risk assessments, please respond to the following.

Risk Assessment Number 2: Title of Risk Assessment: (Ensure a copy of the RA is provided with the assessment paperwork)

Title of RA: _____

12. Why was this particular risk management process chosen over another?

13. Document the parameters (scope) of the risk assessments

14. What hazard identification process/es did you and your team use?

15. What workers would be at risk of exposure to the hazards you identified?

16. Who did you (or could have) seek advice from to clarify unacceptable/ambiguous/doubtful levels of risk?

17. Who did you (or would you) need to communicate the findings of the risk assessment to/with?

18. According to your company's policy, how would the outcome of the risk assessment be recorded/stored?

19. Explain how you would implement the risk controls for this risk assessment, including how and who you could coach to carry out the action plan effectively.

20. What resources would you need to implement the controls?

21. Outline how you facilitated the review process of the effectiveness of the implemented risk assessment and how you would respond if the controls implemented were not sufficient.

22. Based on this risk assessment and according to your policies and procedures, who would you follow up on any anomalies/shortcomings/issues with during implementation?

Part B: Sample Risk Assessment Review Form 1

(You may choose to use this form or use your own company's risk review form, which is often at the completion of your company's JSA, etc, or a separate form).

****Submit both the risk assessment you are reviewing and the risk assessment review form****

Note: To be an impartial reviewer, you should not be reviewing risk assessments you have been part of developing.

Name:	Date:
Venue:	Facilitator:
Risk Assessment Review Details: Include the name of the RA.	

1.0 REVIEW TEAM

The following is a list of all persons contributing to the risk assessment review together with their organisational roles, experience and qualifications. Persons must be selected in accordance with Section 10(1) (a) of the Coal Mining Safety and Health Regulation 2001.

[illegible]

2.0 RISK ASSESSMENT REVIEW CHECK SHEET

1. THE RISK ASSESSMENT REVIEW CHECKLIST	
1.1 Is there a description of the operation or equipment being assessed	YES / NO
1.2 Is there a description of the mine and physical environment where the activity is to take place	YES / NO
1.3 Does it state the presence of significant hazards in relation to the task that has already been identified in mining operations that have previously operated or are continuing to operate	YES / NO
1.4 Is there a list of the people involved in the risk identification step	YES / NO
1.5 Has the technique adopted to identify hazards been identified	YES / NO
1.6 Is there an adequately detailed outline of the approach used to identify the risks?	YES / NO
1.7 Is there an outline of the method used for assessing the likelihood and consequences of the risks?	YES / NO
1.8 Are there two lists of identified risks, ranked by: a) likelihood of assessed risk occurring, and b) consequence magnitude	YES / NO
1.9 Has risk assessment been signed by all personnel taking part in the process	YES / NO
1.10 Is there a list of the main actions to be taken to reduce risks and to manage risks?	YES / NO
1.11 Is there a timetable for review?	YES / NO
2. THE PROCESS USED	Poor Good
2.1 The range of expertise of the team involved in the risk assessment	1 2 3 4 5
2.2 The appropriateness of the degree of detail of the risk assessment	1 2 3 4 5
2.3 The identification of the key risk scenarios to be addressed	1 2 3 4 5
2.4 The method for assessing likelihood and consequences	1 2 3 4 5

3.0 REVIEW OF EXISTING CONTROLS

Controls implemented to be evaluated for effectiveness through document (incident report, maintenance reports) review, observation & interview.

Controls effective $Y = \text{Yes}$

N – Corrective actions required

Date:.....

[illegible]

Part B: Sample Risk Assessment Review Form 2

(You may choose to use this form or use your own company's risk review form which is often at the completion of your company's JSA etc or a separate form).

****Submit both the risk assessment you are reviewing and the risk assessment review form****

Note: To be an impartial reviewer, you should not be reviewing risk assessments you have been part of developing.

Name:	Date:
Venue:	Facilitator:
Risk Assessment Review Details: Include the name of the RA.	

4.0 REVIEW TEAM

The following is a list of all persons contributing to the risk assessment review together with their organisational roles, experience and qualifications. Persons must be selected in accordance with Section 10(1) (a) of the Coal Mining Safety and Health Regulation 2001.

[illegible]

5.0 RISK ASSESSMENT REVIEW CHECK SHEET

1. THE RISK ASSESSMENT REVIEW CHECKLIST	
1.1 Is there a description of the operation or equipment being assessed	YES / NO
1.2 Is there a description of the mine and physical environment where the activity is to take place	YES / NO
1.3 Does it state the presence of significant hazards in relation to the task that have already been identified in mining operations that have previously operated or are continuing to operate	YES / NO
1.4 Is there a list of the people involved in the risk identification step	YES / NO
1.5 Has the technique adopted to identify hazards been identified	YES / NO
1.6 Is there an adequately detailed outline of the approach used to identify the risks?	YES / NO
1.7 Is there an outline of the method used for assessing the likelihood and consequences of the risks?	YES / NO
1.8 Are there two lists of identified risks, ranked by: c) likelihood of assessed risk occurring, and d) consequence magnitude	YES / NO
1.9 Has risk assessment been signed by all personnel taking part in the process	YES / NO
1.10 Is there a list of the main actions to be taken to reduce risks and to manage risks?	YES / NO
1.11 Is there a timetable for review?	YES / NO
2. THE PROCESS USED	Poor Good
2.1 The range of expertise of the team involved in the risk assessment	1 2 3 4 5
2.2 The appropriateness of the degree of detail of the risk assessment	1 2 3 4 5
2.3 The identification of the key risk scenarios to be addressed	1 2 3 4 5
2.4 The method for assessing likelihood and consequences	1 2 3 4 5

6.0 REVIEW OF EXISTING CONTROLS

Controls implemented to be evaluated for effectiveness through document (incident report, maintenance reports) review, observation & interview.

Controls effective $Y = \text{Yes}$

N – Corrective actions required

Date:.....

[illegible]

Part C:

Two inspections or audits of a task/process etc. A pre-start cannot be used for part C.

Please email g2@ohsa.com.au should you need a sample template for this portion.

Section 2 – Summative Assessment - Practical Tasks - Result

Marking Criteria	Completed	Comments
Did the Student?		
Access, interpret and apply your sites risk management documentation including policies/procedures/templates/team requirements etc.	Y <input type="checkbox"/>	
Based on your organisational policies Identify and determine the process to be used for risk management relevant for the task/activity chosen	Y <input type="checkbox"/>	
Identify, develop and document parameters of the risk assessment task through an appropriate scoping process	Y <input type="checkbox"/>	
Access, interpret and apply the information/data required to complete the risk assessment task	Y <input type="checkbox"/>	
Did the student?		
Identify and confirm the types of potential hazards suited to site circumstances, history and/or precedence and document hazard ID process chosen in the follow up questions.	Y <input type="checkbox"/>	
Undertake appropriate routine hazard identification as part of the facilitation process relevant to the risk assessment methodology chosen.	Y <input type="checkbox"/>	
Analyse the hazard identification process to communicate the loss scenarios	Y <input type="checkbox"/>	
Document hazard identification	Y <input type="checkbox"/>	
Did the student?		
Identify and list the workers at risk of exposure in the follow up questions	Y <input type="checkbox"/>	
Determine the severity, likelihood and risk level should the hazard scenario occur	Y <input type="checkbox"/>	
Identify appropriate score using the risk matrix as per company policy	Y <input type="checkbox"/>	
Document who advises was sort from (or could be) if finding are ambiguous (within follow up questions)	Y <input type="checkbox"/>	
Document the risk assessment and communicate to appropriate personnel as per organisations policy/industry requirements	Y <input type="checkbox"/>	
Did the Student?		
Identify and assess existing controls in place and evaluate other feasible risk control options using hierarchy of control	Y <input type="checkbox"/>	
Select the most appropriate control (ALARA) and clarify/confirm selected controls	Y <input type="checkbox"/>	
Document control selected and itemised required resources in the follow up questions.	Y <input type="checkbox"/>	

Did the Student?		
Implement action plan directly or through others as per industry/workplace requirements	Y <input type="checkbox"/>	
Communicate relevant information related to new or reviewed work procedures to all stakeholders	Y <input type="checkbox"/>	
Evaluate requirements via observing impact of information provided to stakeholders and implemented action plans	Y <input type="checkbox"/>	
Provide appropriate dot points regarding how the coached others to effectively carry out action plan	Y <input type="checkbox"/>	
Determine and facilitate ongoing implementation review process as documented in follow up questions adjusting for changes if required	Y <input type="checkbox"/>	
Document, according to their organisations policy, who they follow up anomalies with	Y <input type="checkbox"/>	
Did the student?		
Conduct audits of risk management processes/risk assessments as well as audits of work procedures and provided recommended amendments	Y <input type="checkbox"/>	
Consult with others to identify improvements required and respond appropriately to changes required	Y <input type="checkbox"/>	
Complete, retain and maintain all written risk management documents and reports and provided to assessor for review.	Y <input type="checkbox"/>	

Students document any improvements you could recommend relating to this assessment.

<p>Assessment Results (mark one)</p> <p><input type="checkbox"/> Satisfactory / Not Satisfactory <input type="checkbox"/></p>

Assessors Comments about the assessment (include any details of reasonable adjustment or other consideration)

Assessment Summary RIIRIS402E: Carry out the risk management process. FINAL Competency Summary Record Sheet –

Student Name: _____

ONLINE REFRESHER

Assessment	S / NS	Date
1. Theory Questions Completed in class successfully		
2. Practical Assessments <ul style="list-style-type: none">2 x Facilitated Risk Assessments (JSA / JHA / SWMS/WRAC/Bow-Tie) that you /facilitated. (i.e. NOT participated in)2 x Risk Assessment Reviews of a JSA/JHA/JSEA/SOP/WRAC/Bow-Tie from your company and attach the document you reviewed (see below sample if you don't have a company document);2 x Audits and reports of a task or process using site documentation.		

A competent result cannot be granted until all assessment tools have been completed and returned post course.

Overall Result (mark one) <input type="checkbox"/> Competent / Not Competent <input type="checkbox"/>
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Trainer signs off via email:

Student's Name: _____

Signature: _____ Date: _____