

# RIIRIS402E CARRY OUT THE RISK MANAGEMENT PROCESSES



**OHSAA** >>>  
Industry Leaders

## POST COURSE ASSESSMENT

STUDENT NAME:

COURSE DATE:

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## Sections

**Section 1** – Theory Questions – Completed in Face-to-Face Course.

**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 complete all tasks in this Assessment Task Portfolio, complete them satisfactorily and 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 must demonstrate satisfactory communication skills during some practical activities. You will be awarded this unit once you have demonstrated successful completion and consistency in performance.

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 provided during induction.

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

☐ Please tick this box if you understand the assessment instructions and requirements and consent to being assessed. By signing this acknowledgment, you will also verify and assure the RTO that the work you submit is your own.

Student's Name:	
Student's Signature:	
Course Date:	
Trainers Name:	

## **'G2' RIIRIS402E Initial Course Instructions & Assessment**

**All students must complete all of the following tasks:**

Complete the attached assessment.

**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 with 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 the 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.

**Please ensure all documents are clearly labelled and your name is shown on each.**

**Please note that this is a copy of what was given in class. The course assessment portion has been removed to show what must be submitted post-course.**

**Student, please take the following section with you and submit ALL pages with your assessment.**

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## Section 2 – Practical Activities

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

If you are uncomfortable with any aspect of the assigned tasks, please get in touch with your assessor, who will try to make alternative arrangements. This assessment is intended to be equitable, fair and just. If you feel 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 with 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 the 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. 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 the 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 through 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 and 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



## Facilitated Risk Assessment Follow-Up Questions.

Please respond to the following for each of the two facilitated risk assessments.

**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/processes 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 risk assessment findings to/with?


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


8. Explain how you would implement the risk controls for this risk assessment, including how and whom 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 insufficient.


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




## Facilitated Risk Assessment Follow-Up Questions.

Please respond to the following for each of the two facilitated risk assessments.

**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/processes 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 risk assessment findings to/with?


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


19. Explain how you would implement the risk controls for this risk assessment, including how and whom 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 insufficient.


22. Based on this risk assessment and in accordance with your policies and procedures, who would you follow up with regarding any anomalies/shortcomings/issues that arise during implementation?


**Sample Risk Assessment Review Form 1****(For the first risk assessment, you are reviewing)**

*(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\*\***

<b>Name:</b>	<b>Date:</b>
<b>Venue:</b>	<b>Facilitator:</b>
<b>Risk Assessment Review Details:</b>	

## 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.

<i>Name</i>	<i>Title</i>	<i>Company</i>	<i>Exp (yrs.)</i>	<i>Qualifications relevant to review</i>

## 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	<input type="checkbox"/> YES / <input type="checkbox"/> NO
1.2 Is there a description of the mine and physical environment where the activity is to take place	<input type="checkbox"/> YES / <input type="checkbox"/> 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	<input type="checkbox"/> YES / <input type="checkbox"/> NO
1.4 Is there a list of the people involved in the risk identification step	<input type="checkbox"/> YES / <input type="checkbox"/> NO
1.5 Has the technique adopted to identify hazards been identified	<input type="checkbox"/> YES / <input type="checkbox"/> NO
1.6 Is there an adequately detailed outline of the approach used to identify the risks?	<input type="checkbox"/> YES / <input type="checkbox"/> NO
1.7 Is there an outline of the method used for assessing the likelihood and consequences of the risks?	<input type="checkbox"/> YES / <input type="checkbox"/> NO
1.8 Are there two lists of identified risks, ranked by: a) Likelihood of assessed risk occurring, and b) Consequence magnitude	<input type="checkbox"/> YES / <input type="checkbox"/> NO
1.9 Has risk assessment been signed by all personnel taking part in the process	<input type="checkbox"/> YES / <input type="checkbox"/> NO
1.10 Is there a list of the main actions to be taken to reduce risks and to manage risks?	<input type="checkbox"/> YES / <input type="checkbox"/> NO
1.11 Is there a timetable for review?	<input type="checkbox"/> YES / <input type="checkbox"/> 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 the document (incident report, maintenance reports) review, observation & interview.*

*Controls effective*      *Y = Yes*      *N – Corrective actions required*      *Date:* \_\_\_\_\_

[illegible]

#### 4.0 Completion Sign Off Trainer / Assessor

<b>Trainer / Assessor Name:</b>	<b>Signature:</b>	<b>Date:</b>
<b>Date Received:</b>	<b>Result:</b>	<b>NYC</b>
	<b>COMPETENT</b>	

**Sample Risk Assessment Review Form 2****(For risk assessment 2 that you are reviewing)**

*(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\*\***

<b>Name:</b>	<b>Date:</b>
<b>Venue:</b>	<b>Facilitator:</b>
<b>Risk Assessment Review Details:</b>	



## 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.

<i>Name</i>	<i>Title</i>	<i>Company</i>	<i>Exp (yrs.)</i>	<i>Qualifications relevant to review</i>

## 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	<input type="checkbox"/> YES / <input type="checkbox"/> NO
1.2 Is there a description of the mine and physical environment where the activity is to take place	<input type="checkbox"/> YES / <input type="checkbox"/> 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	<input type="checkbox"/> YES / <input type="checkbox"/> NO
1.4 Is there a list of the people involved in the risk identification step	<input type="checkbox"/> YES / <input type="checkbox"/> NO
1.5 Has the technique adopted to identify hazards been identified	<input type="checkbox"/> YES / <input type="checkbox"/> NO
1.6 Is there an adequately detailed outline of the approach used to identify the risks?	<input type="checkbox"/> YES / <input type="checkbox"/> NO
1.7 Is there an outline of the method used for assessing the likelihood and consequences of the risks?	<input type="checkbox"/> YES / <input type="checkbox"/> NO
1.8 Are there two lists of identified risks, ranked by: c) likelihood of assessed risk occurring, and d) consequence magnitude	<input type="checkbox"/> YES / <input type="checkbox"/> NO
1.9 Has risk assessment been signed by all personnel taking part in the process	<input type="checkbox"/> YES / <input type="checkbox"/> NO
1.10 Is there a list of the main actions to be taken to reduce risks and to manage risks?	<input type="checkbox"/> YES / <input type="checkbox"/> NO
1.11 Is there a timetable for review?	<input type="checkbox"/> YES / <input type="checkbox"/> 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*

$Y = Yes$

*N – Corrective actions required.*

Date: \_\_\_\_\_

[illegible]

## 4.0 Completion Sign Off Trainer / Assessor

<b>Trainer / Assessor Name:</b>	<b>Signature:</b>	<b>Date:</b>
<b>Date Received:</b>	<b>Result:</b>	<b>NYC</b>
	<b>COMPETENT</b>	

## Section 2 – Summative Assessment - Practical Tasks – Result

Marking Criteria	Completed	Comments
<b>Did the Student?</b>		
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"/>	
<b>Did the student?</b>		
Identify and confirm the types of potential hazards suited to site circumstances, history and/or precedence and document the 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"/>	
<b>Did the student?</b>		
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"/>	
<b>Did the Student?</b>		
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"/>	

<b>Did the Student?</b>		
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"/>	
<b>Did the student?</b>		
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.


Assessment Results (mark one)

☐ Satisfactory / Not Satisfactory ☐

**Assessor's Comments about the Assessment**  
**(include any details of reasonable adjustment or other consideration)**


**Assessment Summary****FINAL Competency Summary Record Sheet –**

Student Name: \_\_\_\_\_

Date of face-to-face course: \_\_\_\_\_

Assessment	S / NS	Date
1. Theory Questions Completed in class successfully		
2. Practical Assessments <ul style="list-style-type: none"><li>2 x Facilitated Risk Assessments (JSA / JHA / SWMS/WRAC/Bow-Tie) that you /facilitated. (i.e., NOT participated in)</li><li>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);</li><li>2 x Audits and reports of a task or process using site documentation.</li></ul>		

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

Overall Result (mark one)

☐ Competent / Not Competent ☐

Assessor's Name: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Student's Name: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_