RIIRIS501E
IMPLEMENT AND MAINTAIN MANAGEMENT SYSTEMS TO CONTROL RISK

THEORY EXAM

Participant name	

FOR THE PARTICIPANT
Instructions

• You will complete written questions as outlined on the following pages. You must attempt all questions and provide enough detail in your responses to demonstrate your knowledge.
• It is anticipated that you should complete this assessment within two (2) hours, but additional time may be allowed upon negotiation with the Assessor.
• You must complete all questions unassisted by the Assessor or other personnel but may refer to reference material as needed. All questions must be answered correctly for a 'Satisfactory' assessment outcome to be awarded.
  ○ An oral examination may be allowed under certain circumstances, whereby your answers will be documented by another party.
  ○ Any written questions that are incomplete, or not answered satisfactorily will need to be completed again with further training support.
    ▪ If you answer a question incorrectly but modify your response, put your initials next to the written change (or the Assessor must initial a verbal change).

Resources required
Pen

FOR THE ASSESSOR
Instructions
• Where oral examination has occurred, ensure that this is acknowledged in writing (e.g. FT001 and Assessor Comments) • All questions must be satisfactorily demonstrated by the Participant for a Satisfactory determination (indicated by an Assessor tick to the right of the question). • Assessors are to complete marking in pen of a different colour to the Participant. • If the Participant verbally modifies their response, write in the modified response verbatim and put your initials next to the written change.

ASSESSOR COMMENTS
As necessary, outline: • Details on reattempts, alternative arrangements or reasonable adjustments made. • Where a Participant is deemed 'Not Satisfactory', provide recommendations for future training.

Q1. **Define the term 'hazard' and explain its relationship with risk.**

Answer ☐

Should reflect but is not limited to: A hazard is anything that can cause harm. A hazard is a risk source - an element which alone or in combination has the potential to give rise to risk. Risk is a result of the combination of:

- how dangerous the harm can be
- how likely it is that the harm will occur
- If the level of risk is high
- If the potential for harm is high
- If the likelihood of it happening is high

Q2. **Considering risk management, why is it important that everyone knows exactly what part of the organisation they belong to and what activities and tasks they are responsible for?**

Answer ☐

Should reflect but is not limited to: Contributes to organisational culture and is vital to ensure that each worker understands their own responsibilities and risk management responsibilities related to the work team and tasks.

Q3. **What are the duties of the risk management team?**

Answer ☐

Should reflect but is not limited to: planning, scheduling, documenting in writing and communicating to relevant others how the management systems will be resourced, maintained, monitored and audited in compliance with organisational criteria for assessing and treating risks.

Q4. **Explain the purpose for accessing each of the following documents for risk management procedures.**

Answer ☐

Document	Possible Answers
Risk register	Provides a description of the risk, impact if the risk should occur, the probability of its occurrence, the risk owner(s), how it ranks overall relative to all other risks, and the risk response
Council or Road Authority Specifications	Provide milestones and resource requirements which must be assessed to determine risks to scheduling, HR and other resources
Financial records	Provide information relating to budget and costs
Incident log	States the cause of the problem along with corrective actions that can be taken to minimise the risk of a future occurrence
Supplier list	Used to determine availability and accessibility of resources
HR files	Used to determine availability of human resources for the task/s

Q5. **What are two (2) types of system information and data you can access that support organisational risk management policies? Include in your response the type of support provided.**

Answer

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1. Should reflect but is not limited to discussion of two (2) of : Accessing historical data such as documents and records (incident, accident and near miss records; outcomes; financial records; break-downs; weather records etc); observation records relevant to incorrect or unsafe processes; meeting minutes from WHS focus groups; or interviews, questionnaires and surveys conducted focusing on safety. Historical data informs on past issues, how these were rectified or if not and can offer potential improvement to current issues.
2. Procedures – procedures describe the method to undertake a particular task. the procedure may be provided by a manufacturer of a product or by the workplace following consultation with workplace experts, often workers. SWMS- safe work method statement- outlines the steps to be followed for the safest method of completing a workplace task.

Q6. **What effect can 'risk attitude' have on an organisation's approach to risk management?**

Answer

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Should reflect but is not limited to: Risk attitude is an organisation's approach to assess, pursue, retain, take or turn away from risk. risk attitude impacts organisational culture and can impact compliance to WHS legislation, stakeholder commitment and work site safety. An organisation's risk attitude will determine how much risk it is prepared to accept and how much profit it will generate – or how large its losses will be

Q7. How do you 'establish the context' when managing risk?

Answer

Should reflect but is not limited to: establish the context means to define the external and internal. parameters that the organisations must consider when they manage risk. An organisation's external context includes its external stakeholders, its local, national, and international environment, as well as any. external factors that influence its objectives Establishing the context is necessary to customise the risk management process to meet an organisation's needs and enable effective risk assessment and appropriate risk treatment.

Establishing the context involves:

defining the purpose and scope of risk management activities, including relevant objectives

defining the internal and external context of the organisation

defining the risk criteria to be used to evaluate the significance of risks and to support decision-making processes.

Q8. What are two (2) examples of human resources risk?

Answer

1. Should reflect but is not limited to two (2) of: the risk of not finding people with the skills needed to execute the project.

2. The sudden unavailability of key people on the project

Incorrect information on position descriptions inviting the wrong applicants to the role.

Q9. **Different techniques are available to risk management teams for establishing context, explain each of the following four (4) risk identification tools.**

Answer

Tool	Explanation
Brainstorming	e.g. A creative technique to gather risks spontaneously by group members. Group members verbally identify risks in a 'no wrong answer' environment. This technique provides the opportunity for group members to build on each other's ideas.
Scenario analysis	e.g. Using possible (often extreme) future events to identify possible alternative outcomes and identify possible risks.
Surveys and questionnaires	e.g. Both involve questions. A survey includes analysing the collective responses in order to gain an overall view, whereas a questionnaire only involves questioning.
Working groups	e.g. A group that come together to achieve a specific business objective. Members are usually well experienced and /or well-qualified in the business area.

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Q10. **How do you ensure that you have applied the appropriate questioning techniques and active listening when communicating with others to determine risk management requirements?**

Answer

Should reflect but is not limited to one or any of the following points: look at the person when speaking; speak clearly and concisely; check for understanding; paraphrase what was said; acknowledge understanding.

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Q11. **What is the role of a risk owner?**

Answer

Should reflect but is not limited to one (1) of the following points:

a person, team, or other entity "with the accountability and authority to manage a risk" and who is competent to manage the risk. Risk owners are delegated these risks.

Responsible for managing the risk. Responsibility is an obligation to perform certain duties or to make sure that they are completed.

Authorised to manage the risk. Authority is the right to make job related decisions, to perform duties, and to direct others to complete tasks.

Enough authority should be delegated to meet the responsibilities and complete the assignment.

Accountable for the risks. It is an obligation owed to higher level management to effectively complete the tasks you are responsible for – including those of your team.

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Q12. **Explain the relationship between risk ownership and job descriptions and duty statements.**

Answer

Should reflect: Job descriptions and duty statements list every task and responsibility that the job holder has. Risk ownership is a vital responsibility for the relevant job holder and therefore needs to be clearly specified in the risk owner's job description and duty statement.

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Q13. **Outline four (4) issues that must be dealt with if a risk management system is to be successfully implemented.**

Answer

Issue	Explanation
1	e.g. Developing an appropriate plan including time and resources
2	e.g. Identifying where, when and how different types of decisions are made across the organisation, and by whom
3	e.g. Modifying the applicable decision-making processes where necessary
4	e.g. Ensuring that the organisation's arrangements for managing risk are clearly understood and practised.

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Q14. **Identify and explain four (4) types of resources that should be allocated to the implementation of risk management systems.**

Answer

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1. Should reflect but is not limited to: e.g. Human resources – number of staff with the necessary skills, experience and competence.
2. e.g. The necessary processes - methods and tools – to manage risk
3. e.g. Documented processes and procedures necessary to manage risk
4. e.g. Information and knowledge management systems to aid in system monitoring and review

Q15. **Explain the link between risk ownership and identifying risk management training needs.**

Answer

Should reflect: Risk ownership sets out the authority and accountability of the person who is responsible for the risk. This should be checked against the person's current knowledge, skills and ability to ensure that he or she has the knowledge, skills and abilities necessary to effectively take responsibility as risk owner.

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Q16. **Why is it important that SWMS are developed for work procedures and practices for road construction activities?**

Answer

Should reflect but is not limited to: MUST include: SWMS are a legislated requirement for high risk work activities. SWMS must be read by all workers participating in the work task/activity and all workers must sign their understanding of the SWMS prior to undertaking the task/s – usually during the pre-start meeting.

May include: SWMS outline the steps required to complete the task in a manner that is compliant with workplace policies, procedures and safety requirements.

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Q17. **What techniques can be applied for identifying relevant hazards and emergencies requiring evaluation and controls?**

Answer

Should reflect but is not limited to: external and internal information sources used for similar previous projects clarifying hazards and emergencies previously documented and actioned. Expert advice received from consultation with experienced workers and other stakeholders. Reading historical trends and historical hazard assessments and SWMS. Consider different sources of information to limit risk oversight and facilitate decision making processes. Checking issues logs and incident logs for records of issues faces and actions taken towards mitigation of these risks.

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Q18. **Your research has identified two (2) new workers in the team with no previous experience working on roadworks teams. Describe development and training you would arrange for these workers.**

Answer

Should reflect but is not limited to: Ensure induction has been conducted, organise attendance at all site toolbox talks related to risk management. Document and organise that these workers are assigned a mentor/coach within the work team who will be assigned to support the new workers learning of risk management processes and procedures relevant to their role. External train course to support knowledge of systems and methods applied to eliminate or reduce risks and maintain safety and compliance to site and workplace requirements.

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Q19. **What is the role of external and internal audits in risk management monitoring and review processes?**

Answer

Should reflect but is not limited to:

External audits are generally conducted by someone contracted by the organisation to provide independent assurance that an organisation's risk management, governance and internal control processes are operating effectively. May also be conducted by regulatory bodies to assure that legislation is being adhered to or after a complaint.

Internal audits monitor and assess how risks are being managed and how internal processes are working. Often conducted by internal auditors who act as consultants, looking at ways in which to evaluate the effectiveness of risk management and improve how a company operates overall. The internal audit will help decision makers protect organisational assets and reputations, as well as to support operational sustainability.

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Q20. **Your team has been tasked with auditing the roadwork project mentioned in Q18. You have determined that mentoring assigned has been effective, however it is very time consuming, and the project is barely keeping to schedule due to time taken away from experienced workers for training purposes. Write a brief audit report on the situation including recommendations on how this should be managed.**

Answer

Should reflect professional written language stating but not limited to:

During the audit assignment assigned to the risk management team, it was my responsibility to review the adequacy, efficiency and effectiveness of the operational teams including their adherence to policies, procedures and compliance requirements.

Audit methods applied included, questioning, observation, confirmation and verification of documented progress and team actions.

Sources of information:

Discussion was held with supervisors, team leaders and workers which concluded that:

Coaching/mentoring actions are taking experienced workers away from tasks over a greater time period than intended.

Schedule may be affected due to time of experienced worker being removed from tasks.

Recommendations:

To remediate the situation and avoid risk to timeline and safety, it is recommended an additional experienced worker be recruited to the team to support all actions and help reduce the time the current experienced worker is required to leave their tasks to provide training.

Q21. **Recommendations made during Q20. have been approved by management. Which documents would need to be updated following the implementation of changes?**

Answer

Should reflect but not limited to: Changes to costs of this part of the project to reflect additional worker cost. HR files need to include additional worker information. Action plan to be updated to reflect the additional experienced worker. SWMS required to be read and signed by new experienced worker

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Q22. **Monitoring and review occur at every stage of the risk management process. Write an example of one (1) risk management review question that the team can ask at each of the following stages.**

Answer

Stage	Question
Scope context and criteria	e.g. Has our external environment changed? e.g. Has our internal environment changed?
Risk identification	e.g. Did we identify all significant risks? e.g. Have some risks disappeared? e.g. What new risks have arisen?
Risk analysis	e.g. Did we correctly assess the likelihood of the occurrence of the risk? e.g. Did we correctly assess the severity of the risk? e.g. Has our organisation’s context changed the definition of risk severity? e.g. Did we correctly assess the grade of the risk?
Risk evaluation	e.g. Has a change in the organisation’s context meant that a previously acceptable risk is now unacceptable, or vice versa?
Risk treatment	e.g. Did we correctly treat risks? e.g. How will we treat new risks?

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PRACTICAL ASSESSMENT

Participant name	

FOR THE PARTICIPANT
Instructions
• The tasks outlined on the following pages will require performance of normal workplace activities, as a result of a structured activity set by an Observer in the workplace or a simulated activity set by your Assessor/Observer. • The timeframe for these tasks will be established by your Assessor/Observer, in consideration of location conditions and industry requirements. • You must complete all tasks unassisted by the Assessor or other personnel unless the steps note this assistance. • You must attempt all tasks (and itemised steps) for a ‘Satisfactory’ assessment outcome to be awarded.   o For any observation conducted that is incomplete, or without satisfactory performance, the observation will need to be completed again after further training support.

FOR THE ASSESSOR/OBSERVER
Instructions

• The following observation record should be used to judge and record your observations of the Participant as they complete the task(s) set. You must record your observations of the Participant’s performance.
    o For each occasion, indicate the task performed and whether it was a simulation or workplace-based task.
        ▪ Any simulated assessment must ensure the Participant still performs under workplace conditions which reflect industry standards.
    o In the comments, provide clear detail regarding the task that the Participant was required to do (e.g. PPE used, materials handled, attachments connected, plant types).
• All steps must be satisfactorily demonstrated by the Participant for a ‘Satisfactory’ determination (indicated by an Assessor tick to the right of each itemised step, or an Observer tick to the right of each itemised step, and confirmation by an Assessor in the Assessor Comments).
    o Where you have determined that one or more task steps have not been satisfactorily demonstrated, provide the Participant with additional support and outline details of such assistance in the Assessor/Observer Comments. Allow the Participant two (2) further opportunities to demonstrate the task again to allow an opportunity for a ‘Satisfactory’ assessment outcome to be achieved.
    o If after three (3) attempts the Assessor determines that the Participant cannot demonstrate the required steps, a ‘Not Satisfactory’ outcome is to be determined.

TASK OUTCOME					
Task	**Date**	**Task Type (Tick)**	**Location**	**Task outcome (Tick)**	
				Satisfactory	Not Satisfactory
Task 1 (Occasion 1)		☐ Workplace ☐ Simulation		☐	☐
Task 1 (Occasion 2)		☐ Workplace ☐ Simulation		☐	☐

ASSESSOR COMMENTS: GENERAL
As necessary, outline: • Details on reattempts, alternative arrangements or reasonable adjustments made. • Where a Participant is deemed 'Not Satisfactory', provide recommendations for future training.

ASSESSOR COMMENTS: PRACTICAL TASK 1 Occasion 1	
☐ Individual student (as named on cover page) ☐ Multiple students [☐ All from Attendance Report, ☐ Specific students involved – identify students]	
Task	**Details**
All	The participant must provide evidence of how they have completed each component of the Practical Task, which is to be submitted with this Practical Assessment sheet. Evidence to be submitted may include any of the following documents demonstrating active involvement (e.g. signature): • Risk management plan (e.g. time, scope, cost quality) • Site management systems (e.g. audits, risk assessments, policies) • Safety management plan • SWMS • Permits • training schedule/ training resources
1.1B.	Specify documentation collected, read and applied to implement and maintain management systems to control risk: ☐ Mission statement ☐ Project plans ☐ Stakeholder lists ☐ Supplier lists ☐ Project budget ☐ Organisation's criteria for assessing and treating risks ☐ Environmental reports ☐ Organisational policies and procedures ☐ Organisational standards ☐ HR files ☐ Safety Plan ☐ Historical records and reports ☐ Regulatory and Authority requirements ☐ Weather reports ☐ Manufacturer requirements for material, plant and equipment ☐ Other (please specify):
1.1D.	Specify stakeholders consulted: e.g. client representative; project management; risk management team; project supervisors
1.2A.	Specify four (4) hazards and risks identified: e.g. risk to cost; risk to site safety; risk to reputation, supplier risk; employee risk; security risk; environmental risk; credit risk; debtor risk
1.2G. 1.3C.	Specify form provided and where stored for accessibility: e.g. SWMS stored digitally printed out as required in site office.

ASSESSOR COMMENTS: PRACTICAL TASK 1 Occasion 1	
1.3D.	Specify training/support organised: e.g. external course; mentoring; toolbox talks
1.4C.	Specify changes made to action plan: e.g. contingency plan enforced due to weather
1.4E.	Specify records and reports produced and maintained: e.g. change management report; breach to procedure; report on review; recommendations

ASSESSOR COMMENTS: PRACTICAL TASK 1 Occasion 2	
☐ Individual student (as named on cover page) ☐ Multiple students [☐ All from Attendance Report, ☐ Specific students involved – identify students]	
Task	**Details**
All	The participant must provide evidence of how they have completed each component of the Practical Task, which is to be submitted with this Practical Assessment sheet. Evidence to be submitted may include any of the following documents demonstrating active involvement (e.g. signature): • Risk management plan (e.g. time, scope, cost quality) • Site management systems (e.g. audits, risk assessments, policies) • Safety management plan • SWMS • Permits • training schedule/ training resources
1.1B.	Specify documentation collected, read and applied to implement and maintain management systems to control risk: ☐ Mission statement ☐ Project plans ☐ Stakeholder lists ☐ Supplier lists ☐ Project budget ☐ Organisation's criteria for assessing and treating risks ☐ Environmental reports ☐ Organisational policies and procedures ☐ Organisational standards ☐ HR files ☐ Safety Plan ☐ Historical records and reports ☐ Regulatory and Authority requirements ☐ Weather reports ☐ Manufacturer requirements for material, plant and equipment ☐ Other (please specify):
1.1D.	Specify stakeholders consulted: e.g. client representative; project management; risk management team; project supervisors
1.2A.	Specify four (4) hazards and risks identified: e.g. risk to cost; risk to site safety; risk to reputation, supplier risk; employee risk; security risk; environmental risk; credit risk; debtor risk
1.2G. 1.3C.	Specify form provided and where stored for accessibility: e.g. SWMS stored digitally printed out as required in site office.
1.3D.	Specify training/support organised: e.g. external course; mentoring; toolbox talks
1.4C.	Specify changes made to action plan: e.g. contingency plan enforced due to weather
1.4E.	Specify records and reports produced and maintained: e.g. change management report; breach to procedure; report on review; recommendations