

RIIRIS401E APPLY SITE RISK MANAGEMENT SYSTEM ASSESSMENT SUMMARY

The assessment activities for *RIIRIS401E Apply site risk management system* cover all aspects of the unit of competency. For Apprentices/Trainees, this includes supervisor completion of the Apprentice/Trainee Record (ATR).

Participants must read all the information given before starting any assessment task. The assessment tasks are intended to be fair, flexible, valid and reliable. If a Participant has any questions or requires alternative arrangements to be made such requests should be directed to their Trainer/Assessor, who should note such arrangements in the 'Assessor Comments' on the affected assessment. If a Participant feels they are not yet ready to be assessed, they should discuss their options with their Trainer/Assessor.

To satisfactorily complete the assessment, the Participant is required to answer all questions correctly and demonstrate their skills to industry standards. If a Participant does not answer all questions or perform all tasks, they will be deemed 'Not Satisfactory' for the task and 'Not Yet Competent' for the unit of competency.

The Trainer/Assessor can provide the Participant with additional information on interpreting the assessment outcomes and guide the Participant's options. If a Participant is still deemed 'Not Satisfactory' they will have the opportunity to undertake a supplementary assessment or appeal the result as per the process in the Student Handbook.

By signing below, the Participant acknowledges:

- They understand the assessment instructions and requirements, and consent to being assessed.
- The work submitted is to be their own work – with the work of/with others needing to be clearly acknowledged and documented.
- They consent to any photo/video recording of their work that occurs during assessment.

Participant name	TREY BUTLER
Participant signature	

Pre-requisite unit(s) to be achieved and authenticated prior to undertaking assessment

☒ Not applicable

Task	Date completed	Assessment Results	
Theory Exam		☐ Satisfactory	☐ Not Satisfactory
Practical Assessment		☐ Satisfactory	☐ Not Satisfactory
Outcome for RIIRIS401E		☐ Competent	☐ Not Yet Competent

Evidence requirements checklist (ticked by assessor and evidence supplied to RTO)

- ☐ Theory Exam
- ☐ Practical Assessment
- ☐ Completed report on continuous improvement of risk management controls

Assessor name	
Assessor signature	

RIIRIS401E

APPLY SITE RISK MANAGEMENT SYSTEM

THEORY EXAM

Participant name

*TREY BUTLER***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 after 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.

Q1. Provide two (2) types of system information and data you can access that support organisational risk management policies.

Answer

1. Work health and safety Act 2011 (qld) ☐

2. Work health and safety regulation 2011 (qld)

Q2. What are three (3) elements of the risk management system that must be applied when you undertake work tasks?

Answer

1. risk identification ☐

2. risk management and assessment

3. risk reporting and monitoring

Q3. You have been asked to explain the risk management system information and data to a new team member. What would you be explaining to them?

Answer

Identify the hazard/s
Assess the risk
Control the risks
Record your findings
Review the controls

☐

Q4. What information would you source when organising a toolbox talk about risk management and consultation in the organisation?

Answer

your organization's safety policies
incident reports, hazard logs and
relevant industry standards

☐

Q5. What is your work role and how do you apply the workplace risk management system information in your role?

Answer

leading hand, JHA (Job Hazard Analysis)

☐

Q6. Why should supervisors record the actions of others when undertaking work tasks and document any issues or concerns raised by others?

Answer

To ensure accountability, improve safety, and
facilitate effective problem-solving and learning



Q7. How can the "How to manage work health and safety risks Code of Practice" support you when undertaking risk management in your role?

Answer

provides practical guidance and a structured
approach to risk management, helping you identify
hazards, assess risk, implement control measures
and review their effectiveness



Q8. Why is it important to apply the principles and guidelines set out in AS ISO 31000?

Answer

It provides a common approach to managing any type of risk and is not industry or sector specific



Q9. Discuss two (2) different reasons the implementation of the risk management system may fail. (100 words)

Answer

1. Lack of Buy-in and poor communication

2. Inadequate training and resources



Q10. Which documents may need to be changed/updated following a risk management process and why? Provide three (3) examples.

Answer

1.

JHA - conditions



2.

SWMS - new risks & controls

3.

Permits - conditions, dates

Q11. What is the purpose and benefit related to the use of a risk register?

Answer

to document, track and manage risks by
identifying, assessing and prioritising them



Q12. What is the SWOT analysis and its relevance to risk management system implementation?

Answer

it helps you assess internal factors that might
your business (strengths, weaknesses) and external factors
(opportunities and threats)



Q13. What is the difference between hazards and risks as they apply to safe systems of work?

Answer

hazards are the things/situations that can harm
a person

Risks are the likelihood it may occur



Q14. Why would you use the hierarchy of controls when selecting options for managing site risk?

Answer

to control the risks and reduce exposure to the hazards

☐

Q15. How does your organisation monitor and review its risk controls and treatments?

Answer

SWMS, JHA's

☐

Q16. What are two (2) tools and techniques you can apply to determine risk management system effectiveness?

Answer

1. site inspections



2. hazard reports

Q17. Which workplace recordkeeping requirements must you adhere to when documenting the effectiveness of a risk management system?

Answer

All incident, near miss reports
Other forms



Q18. How would you explain outcomes of risk management evaluations, and how they will be affected to your work team?

Answer

go through hierarchy of controls to ensure
safest route for job at hand ☐

Job may take longer to complete

Q19. How did you go about making a recommendation for change when you identified that you could offer an improvement to the effectiveness of risk controls? Explain the situation.

Answer

swap a personnel for mechanical lifts ☐

unload pallet off delivery truck into container
using a forklift instead of item by item

Q20. How would you report inadequacies in risk controls at your workplace?

Answer

report to supervisor, engineer



Q21. What is the purpose of using aggregate risk and hazard data for trend analysis?

Answer

to assess how large the total scope of risk is



Q22. What is the meaning of this excerpt from the “How to manage work health and safety risk Code of Practice”?

“Under section 26A of the WHS Act duty holders must comply with an approved code of practice or follow another method, such as a technical or industry standard, if it provides an equivalent or higher standard of work health and safety than the standard required in this code.”

Answer

outlines the practical guidance for managing health and safety risks in the workplace, including identifying hazards, assessing risks, controlling them



RIIRIS401E

APPLY SITE RISK MANAGEMENT SYSTEM

PRACTICAL ASSESSMENT

Participant name	TREY BUTLER
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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. - 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. - 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. - 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). - 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. - 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	Provide detail
1.1A.	Specify participant role in activity:
1.1A.	Specify risk management documentation collected and used:
1.1E.	Specify how the elements of the risk management system were applied to the work plan:
1.2C.	Specify where outcomes of consultation were recorded:

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
1.1A.	Specify participant role in activity:
1.1A.	Specify risk management documentation collected and used:
1.1E.	Specify how the elements of the risk management system were applied to the work plan:
1.2C.	Specify where outcomes of consultation were recorded:

RIIRIS401E APPLY SITE RISK MANAGEMENT SYSTEM

Practical Task 1 (2X)

Description of task:

The participant must demonstrate applying the site risk management system processes that safely, effectively and efficiently follow workplace procedures to undertake work activity on two occasions including:

- Collect and use workplace risk management documentation according to policies and procedures applicable to own work role.
- Clearly and concisely explain the site risk management system information and data to assessor/ team member.
- Provide accessibility to documents and reference information relevant to risk management policies, procedures and programs.
- Meet with others to plan, prepare and apply the site risk management system as it applies to own role.
- Analyse and prioritise hazards and risks applying consultation processes as they apply to risk management.
- Consider and select most appropriate options for managing site risk using the hierarchy of controls.
- Document and resolve issues raised through consultation and record the contribution of others in implementing the plan as it applies to own job role.
- Implement selected options for risk management system and monitor outcomes of risk management implementations documenting and communicating effectiveness according to workplace recordkeeping requirements.
- Identify and select methods and processes for improving control effectiveness.
- Monitor effectiveness of risk control procedures by using aggregate risk and hazard data to forecast and identify hazards.
- **Write a report** to communicate issue, potential improvements to risk management system, consultation and method of determination, possible negative effects on workplace policies and procedures and describe how these changes will be implemented and facilitated.
- Maintain written records and reports for risk management systems activity and outcomes.

Note: Space is provided following the checklist for a written report. Alternatively, provide a report written on workplace form.

Tasks are at the Assessor's Discretion, but detail of tasks undertaken must be recorded in the Assessor's Comments (on the back of the Practical Assessment cover page).

Resources required:

Site risk management documentation, work site, work team, pen for report.

When completing the task, did the Participant:	Tick if satisfactorily completed. Provide comments if left unticked.	
	1 st Occasion	2 nd Occasion
1 Plan and prepare risk management system information		
1.1A. Collect and use workplace risk management documentation according to policies and procedures and applicable to own work role.		
1.1B. Clearly and concisely explain risk management documentation to work team during pre-start meeting.		
1.1C. Direct group on how to access to risk management policies, procedures and programs.		
1.1D. Read through relevant SWMS with team (as applicable) discussing the requirements and seeking feedback on steps.		
1.1E. Apply knowledge of the elements of the risk management system and legislated requirements to work plan and prepare to implement risk management as it applies to own job role.		

When completing the task, did the Participant:	Tick if satisfactorily completed. Provide comments if left unticked.	
	1 st Occasion	2 nd Occasion
2 Apply risk management system information		
1.2A. Promote and conduct consultation with regards to managing risk.		
1.2B. Promptly deal with issues raised through consultation.		
1.2C. Record the outcomes of consultation including the contribution of others.		
3 Evaluate application of risk management controls		
1.3A. Analyse and prioritise hazards and risks applying consultation processes as they apply to risk management.		
1.3B. Consider and select most appropriate options for managing site risk using the hierarchy of controls.		
1.3C. Monitor the effectiveness of risk control procedures by collecting organising and analysing total organisational data and drawing conclusions from trends.		
1.3D. Document and communicate outcome of evaluation according to workplace recordkeeping requirements.		
4 Report on continuous improvement of risk management controls		
1.4A. Identify and select methods and processes for improving control effectiveness.		
1.4B. Consider potential risks and plan control.		
1.4C. Write a report that uses structure, layout and language suitable for audience to document development of risk management system.		
1.4D. Use appropriate organisational formats and industry specific vocabulary when writing report.		
1.4E. Report inadequacies in controls and present potential solutions to remedy inadequacies.		
1.4F. Report possible negative effects on workplace policies and procedures.		
1.4G. Explain improvements to be applied and how these will be implemented and facilitated.		

Report on continuous improvement of risk management controls - Occasion 1
Date:
Report type:
Issue:
Was issue resolved?
Method for resolving issue:
Tools and data accessed to forecast and identify hazards:
Consultation processes: Who/Why/When

Report on continuous improvement of risk management controls - Occasion 1
Potential improvements to be implemented to risk controls:
Who is to implement improvements?
By date:
Possible negative effects on workplace policies and procedures and changes required:
Approval:

Report on continuous improvement of risk management controls - Occasion 2
Date:
Report type:
Issue:
Was issue resolved?
Method for resolving issue:
Tools and data accessed to forecast and identify hazards:
Consultation processes: Who/Why/When

Report on continuous improvement of risk management controls - Occasion 2
Potential improvements to be implemented to risk controls:
Who is to implement improvements?
By date:
Possible negative effects on workplace policies and procedures and changes required:
Approval: