

**BSBWHS411**

**Implement and monitor WHS policies, procedures and programs**

**Learner guide**



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# Unit of Competency

### Application

This unit describes the skills and knowledge required to implement and monitor an organisation’s work health and safety (WHS) policies, procedures and programs in the relevant work area in order to meet legislative requirements.

The unit applies to those with supervisory responsibilities in a work area who have a broad knowledge of WHS policies and contribute well-developed skills in creating solutions to problems through analysis and evaluation of information from a variety of sources. They provide supervision and guidance to others and have limited responsibility for the output of others.

NOTES

1. The terms ‘occupational health and safety’ (OHS) and ‘work health and safety’ (WHS) are equivalent, and generally either can be used in the workplace. In jurisdictions where model WHS laws have not been implemented, registered training organisations (RTOs) are advised to contextualise this unit of competency by referring to existing WHS legislative requirements.
2. The model WHS laws include the model WHS Act, model WHS Regulations and model WHS Codes of Practice. See Safe Work Australia for further information.

No licensing, legislative or certification requirements apply to this unit at the time of publication.

**Unit Mapping Information**

Supersedes and is equivalent to BSBWHS401 Implement and monitor WHS policies, procedures and programs to meet legislative requirements.

**Pre-requisite Unit**

None stated

**Unit Sector**

Regulation, Licensing and Risk – Work Health and Safety

### Performance Criteria

| Element  Elements describe the essential outcomes. | Performance Criteria  Performance criteria describe the performance needed to demonstrate achievement of the element. |
| --- | --- |
| 1. **Provide information to work team about WHS policies and procedures** | 1. Identify and communicate relevant provisions about WHS laws to work team 2. Provide information about organisation’s WHS policies, procedures and programs, and ensure it is readily accessible to work team 3. Communicate information about identified hazards and outcomes of risk assessment and control to work team |
| 1. **Implement and monitor work team consultative arrangements for managing WHS** | 1. Communicate importance of consultation mechanisms in managing WHS risks to work team 2. Apply consultation mechanisms to facilitate work team participation in managing work area hazards, according to organisational policies and procedures 3. Contribute to managing issues raised through consultation mechanisms, according to organisational consultation procedures and WHS legislative requirements 4. Communicate outcomes of consultation about WHS issues to work team |
| 1. **Implement and monitor organisational procedures for providing WHS training to work team** | 1. Identify and document team WHS training needs according to organisational requirements and WHS laws 2. Make arrangements to meet WHS training needs of team members in consultation with relevant stakeholders 3. Provide workplace learning opportunities to facilitate team and individual achievement of identified WHS training needs |
| 1. **Implement and monitor organisational procedures and legal requirements for identifying hazards, and assessing and controlling risks** | 1. Identify and report on hazards in work area according to organisational policies and procedures, and WHS legislative requirements 2. Contribute to managing and implementing hazard reports according to organisational policies and procedures, and WHS legislative requirements 3. Implement procedures to control risks using the hierarchy of control measures according to organisational policies and procedures, and WHS legislative requirements 4. Identify and report inadequacies in existing risk controls according to the hierarchy of control measures, and WHS legislative requirements 5. Monitor outcomes of reports on inadequacies, as required, to ensure prompt organisational response |
| 1. **Implement and monitor organisational procedures for maintaining WHS records** | 1. Complete and maintain WHS incident records of occupational injury and disease in work area according to organisational policies and procedures, and WHS legislative requirements 2. Use aggregate information and data from work area records to meet organisational recordkeeping requirements |

### Foundation Skills

This section describes those language, literacy, numeracy and employment skills that are essential to performance but not explicit in the performance criteria.

Reading:

* Interprets and analyses WHS laws and organisational texts.

Writing:

* Documents organisational WHS policies, procedures and programs according to WHS laws, using structure, layout and language suitable for audience
* Records WHS issues and actions taken according to reporting requirements
* Prepares and maintains required records using appropriate structure and vocabulary.

Oral communication:

* Provides WHS organisational information and advice using structure and language suitable for audience
* Uses questioning and active listening to clarify understanding.

Navigate the world of work:

* Adheres to legal and regulatory responsibilities, and organisational policies and procedures in relation to own WHS role and responsibilities
* Keeps up to date on changes to WHS laws, and related organisational policies and procedures relevant to own role.

Interact with others:

* Selects and uses appropriate conventions and protocols to facilitate consultation and provide feedback
* Initiates and contributes to facilitating consultative role: responding, explaining, clarifying and expanding on ideas and information as required
* Collaborates with others to achieve individual team member and team outcomes.

Get the work done:

* Uses combination of logical planning and intuitive understanding of context to identify relevant information and risks, and to identify and evaluate alternative strategies
* Uses decision-making processes: sets and clarifies goals, gathers information, and identifies and evaluates choices against a set of criteria
* Takes responsibility for reporting WHS risk control inadequacies
* Uses processes to monitor implementation of WHS organisational procedures.

### Assessment Requirements

**Performance Evidence**

The candidate must demonstrate the ability to complete the tasks outlined in the elements, performance criteria and foundation skills of this unit, and to:

* Implement and monitor the work health and safety (WHS) policies, procedures and programs for one work area in an organisation.

During the above, the candidate must:

* Explain relevant WHS information clearly and accurately to work team
* Provide work team with access to WHS policies, procedures and programs in appropriate structure and language
* Implement and monitor procedures, according to WHS legislative and organisational requirements, for:
* consultation on and communication about WHS hazards and risks
* WHS training needs and learning opportunities
* WHS records
* using WHS aggregate data relating to hazards and risk control.

**Knowledge Evidence**

The candidate must demonstrate the knowledge to complete the tasks outlined in the elements, performance criteria and foundation skills of this unit. This includes knowledge of:

* Key provisions of commonwealth and state/territory WHS laws that apply to the business, and procedures for their application in the work area
* Organisational policies and procedures for:
* consulting during WHS issue management
* identifying hazards and managing risks, including using aggregate information and work area data
* incident response, investigation and reporting
* Legal responsibilities and duties of managers, supervisors, persons conducting a business or undertaking (PCBUs) and workers in relation to WHS risk management in the workplace
* Procedures for assessing implications of near misses in relation to incidents, injuries and illnesses in the work area
* Effective consultation mechanisms in managing health and safety risks in the workplace
* Features of effective workplace learning opportunities, including coaching and mentoring assistance that facilitates team and individual achievement of WHS training needs
* Key principles and components of the hierarchy of control measures
* Procedures for applying the hierarchy of control measures in own work area.

**Assessment Conditions**

Assessment must comply with WHS laws, legal responsibilities and duty of care required for this unit. It must be conducted in a safe environment where evidence gathered demonstrates consistent performance of typical activities undertaken by individuals carrying out WHS duties in the workplace, and must include access to:

* Actual workplace or simulated environment
* Workplace equipment and resources
* Examples of documents about workplace safety, hazard identification and risk assessment
* WHS laws and organisational documentation required to demonstrate the performance evidence
* Opportunities for interaction with others.

Assessors of this unit must satisfy the assessor requirements in applicable vocational education and training legislation, frameworks and/or standards.

**Links**

Companion Volume Implementation Guide is found on VETNet - <https://vetnet.gov.au/Pages/TrainingDocs.aspx?q=11ef6853-ceed-4ba7-9d87-4da407e23c10>

# 1. Provide information to work team about WHS policies and procedures

**1.1.** Identify and communicate relevant provisions about WHS laws to work team

**1.2.** Provide information about organisation’s WHS policies, procedures and programs, and ensure it is readily accessible to work team

**1.3.** Communicate information about identified hazards and outcomes of risk assessment and control to work team



## 1.1 – Identify and communicate relevant provisions about WHS laws to work team

By the end of this chapter, the learner should be able to:

* Determine WHS provisions
* Construct relevant communications for the work team about WHS provisions
* Provide communications about WHS to the work team.

### Work health and safety (WHS)

All businesses have a duty to comply with work health and safety; legislation exists to enforce and guide this. The organisation you work for has an obligation to have and maintain knowledge of WHS and to have policies, procedures, systems and processes to manage this.

When you are asked to contribute to maintaining work health and safety at work, your role should be clearly defined. Everyone has a responsibility to look after their health and safety in the workplace, and the health and safety of others (as far as it is possible to do so), but additional duties and roles will be allocated to implement and monitor this. You must know what will be expected of you, so you are able to participate as necessary.

The first step is to identify the WHS information that is relevant for your organisation and its business. There is general information that applies to all types of workplaces, and there is information that will apply to businesses that perform high-risk work.

WHS information that you will need to refer to includes:

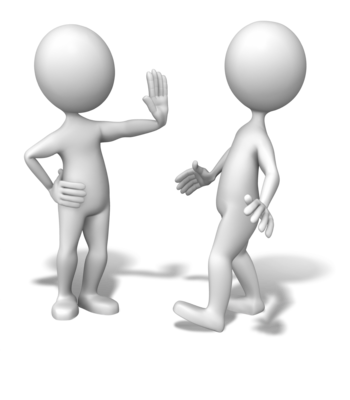
* WHS legislation (you will need to know your individual state/territory legislation, and you may need to refer to the Commonwealth WHS legislation or Model WHS laws for further guidance):
* the WHS Act
* the WHS Regulation(s)
* codes of practice (those that are mentioned in the Act/Regulations will need to be complied with)
* WHS standards (these may be relevant to your organisation or to your business industry)
* WHS guidance materials, such as fact sheets, reports and case studies
* WHS industry-specific information, such as construction safety, food safety, safety in outdoors work, and the globally harmonised system (GHS) of classification and labelling of chemicals
* WHS information at work, such as job safety analyses (JSAs), risk controls, safety data sheets (SDSs), and manufacturers’ manuals and specifications.

### WHS legislation

Each state and territory has its own health and safety laws; occupational health and safety is the term used for these laws in Victoria and Western Australia.

The states and territories with work health and safety laws are derived from the Model WHS laws; these were developed by Safe Work Australia to provide a consistent approach to governing work health and safety. Safe Work Australia also have WHS Model codes of practice and other guidance materials that can be referred to for general or additional needs. In a matter where precise knowledge of the law is required, you should refer to your state/territory laws.

Work health and safety laws will cover areas that include:

* Roles and responsibilities
* Duties and duty of care requirements
* Hazard and risk management
* WHS consultation, representation and participation
* WHS recordkeeping
* Incident notification reporting
* Return-to-work requirements for employees
* Hazardous work
* Right of entry into the workplace
* Safety requirements, such as safe premises, safe systems of work, safe machinery, emergency requirements, supervision and training.

*(See the appendices at the end of this learner guide for a list of the legislation that applies in each jurisdiction).*

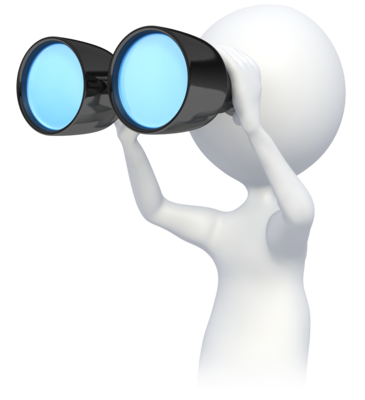
Responsibilities and duties

Your employer (the person(s) conducting the business or undertaking or ‘PCBU’) has the primary duty and responsibility for making sure the business complies with WHS legislation. They must ensure that the workplace is safe, equipment and machinery are safe, there are safe work processes and systems, and that its business is safe to the environment and to its customers. This will include specific WHS practices, such as risk management and WHS consultation.

The PCBU will usually delegate work health and safety to others to facilitate this; however, they still have the primary obligation and responsibility for this.

Duties of managers

Depending on the role and level of authority, managers can be given different responsibilities and duties relating to WHS. For example, the PCBU will delegate WHS to managers, those at a senior level with decision-making capabilities and managers working below them; they will need to make sure the organisation complies with WHS legal and ethical requirements (i.e., perform due diligence). These persons are known as officers in WHS law. They must keep up-to-date with WHS sources of information and ensure the organisation has the correct resources for minimising and controlling risks.

Middle managers will have a responsibility and duty to ensure the persons they are responsible for participate in and carry out WHS. They may not have a due diligence role, but they will need to guide their teams to perform WHS correctly. In the case of risk management, they will need to carry out and/or direct risk assessments, risk categorisation, identification of risk controls, implementation of risk controls and risk monitoring.

Duties of supervisors

Supervisors will perform under managers; they may have a similar role to a middle manager, or they may have a less responsible role. However, they will still be responsible for making sure their teams comply with work health and safety. This can include acting as a go-between with managers to coordinate and carry out work health and safety, and it can be to lead their team in WHS activities. In the example of risk management, they might need to conduct risk assessments, participate in risk control meetings and implement risk controls on behalf of their manager. They will need to keep accurate WHS records and monitor risk controls for any further improvements or changes.

Duties of workers

Workers must take all reasonable care to maintain their health and safety; this means following health and safety instructions and guidance, participating in work health and safety activities, and not doing anything that puts themselves or others at risk.

They must make sure their actions or omissions to act, do not cause harm to themselves or others. This can include using personal protective equipment, following safety procedures and reporting health and safety concerns.

In relation to risk management, workers must follow risk management policies and procedures. They must use risk controls where they are identified, report hazards and risks that they find, and participate in risk assessments when it is needed.

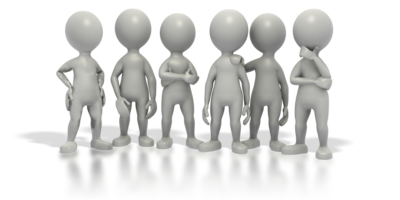
### Communicating WHS provisions to the team

WHS provisions are the things that your team will need to know in order to be safe at work; for example, workers will need to know how to navigate the workplace and they will need to know how to report hazards and risks.

When communicating about WHS, you must ensure you choose the most effective method of communication that will ensure your team understands the relevant provisions. This can be a team meeting, where you answer questions about WHS, and it can be a written communication that gives your team members something to refer to. A combination of face-to-face discussion and written information will be the most effective, but it will depend on the situation, topic, and level of detail, as to which you may choose.

When you communicate, you may need to inform, instruct, or explain specific health and safety requirements. You will need to consider the purpose of the communication and the information that is needed. You should construct information according to the team members’ current level of knowledge and experience, so you can provide what is relevant and specific to them.

It is important to explain WHS laws and provisions accurately and clearly to the whole work team – preferably before they start working for your organisation. The best way to do this is in an initial workplace induction when workers join. After an initial induction, you can then arrange regular team meetings to remind and update workers about WHS provisions and requirements, as necessary.

You will need to explain how WHS laws affect workers according to their job role and the industry that the organisation is a part of. WHS laws offer a broad spectrum of protection for employees across a range of industries and workplaces, and you will need to be clear on how this will apply. You can give specific examples that will help your team to understand WHS requirements; for example, when WHS law stipulates that the working environment and facilities should be suitable, you may say that each team member is responsible for keeping their workspace tidy and free of trip hazards to make sure this is safe for everyone.

### Fotolia_2204087_XS.jpgActivity 1A

## 1.2 – Provide information about organisation’s WHS policies, procedures and programs, and ensure it is readily accessible to work team

By the end of this chapter, the learner should be able to:

* Recognise WHS policies, procedures and programs
* Give information about WHS policies, procedures and programs to the work team.

### WHS information for the work team

To ensure workers are able to fulfil their duties and responsibilities under WHS, they must be given the correct information and guidance. It cannot be expected that workers will remember each detail of something they have been told only once, or to automatically know the safest way to carry out a task.

You will need to provide access to the organisation’s WHS policies, procedures and programs. This can be written policies and procedures, instructions and work notices. It can include first-hand, spoken information that you give when instructing or supervising tasks.

Your organisation will have policies and procedures which you must be given access to. If not in your possession, you should ask the relevant manager or WHS duty holder where you can get this from and follow the instructions accordingly. If your organisation runs WHS programs, details may be found in WHS records, or you may need to request information directly from the WHS program originator.

WHS policies

Policies are adopted and used by organisations to ensure their long-term goals and objectives are reached. They are usually guidelines or statements that outline certain principles and rules. Your organisation should have a specific WHS policy. It should be written in accordance with WHS regulation(s) and legislation to ensure that your organisation achieves compliance.

For example, WHS policy may include statements such as:

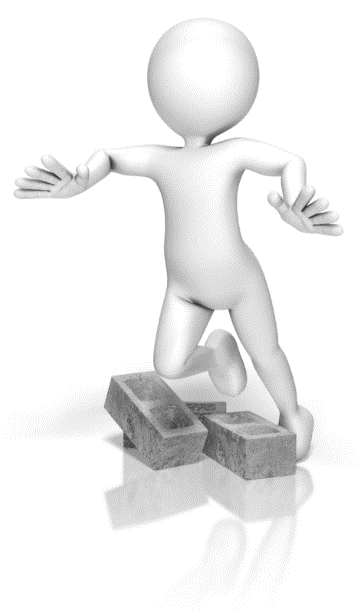
* The workplace must control risks through hazard and risk assessment activities
* WHS incidents must be documented and assessed to understand and prevent the reoccurrence of incidents
* All staff must be trained to carry out WHS according to their role.

Each aspect of WHS may have a comprehensive list of guiding statements and rules; your WHS policy will most likely be ordered in a logical sequence to cover these according to area and subject matter.

WHS procedures

WHS policy should include a set of procedures for the guidance and instruction of individuals and parties within your organisation. The procedures should detail the ways of completing workplace tasks with minimal risk to health and safety. They are the steps that need to be taken to fulfil policy requirements.

For example, WHS procedures may include:

* Hazard and risk assessment:
* inspect the workplace for hazards and risks
* check work and incident records to identify hazards and risks
* document the hazards and risks
* assess the risks for their severity and likelihood of occurrence
* rate and categorise the risks
* apply risk controls according to the hierarchy of WHS risk control measures
* document risk controls
* implement risk controls
* monitor risk controls and adjust or change as required
* WHS consultations:
* identify the need or subject matter for consultation
* arrange and notify workers of the consultation and participation requirements
* conduct the consultation, discussing WHS and making decisions
* notify workers of the outcome of the consultation
* document the outcome of the consultation.

WHS programs

WHS programs can be undertaken to improve standards and to increase workers’ knowledge and skills. These may be carried out as part of your organisation’s own WHS initiatives to increase awareness and compliance, or it may be something that you do with external WHS consultants and trainers. Typically, a program will consist of training, but it can also include presentations, demonstrations, online learning, workshops or other activities that are designed to inform or educate in some way. The common factor is that all activities will be about a specific subject, and they will be developed to fulfil a goal.

For example, WHS programs can include:

* Using and maintaining personal protective equipment
* Emergency training
* First aid awareness
* WHS compliance online course
* Risk monitoring.

### WHS information formats

The information you provide must be easy to read and follow. Any rules and instructions should be clear, and they should identify who is accountable for the actions that are taken.

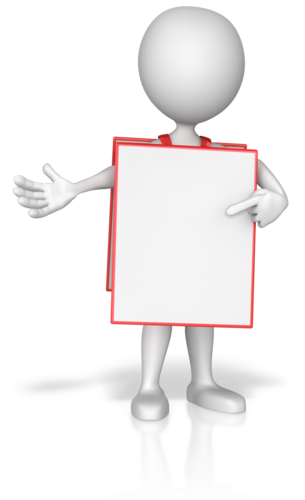
Policies should be written in concise statements, and procedures should identify the action and who needs to take the action.

For example:

* WHS policy statement – All incidents must be reported for WHS recordkeeping
* WHS procedure:
* incidents must be recorded by the person (or a person) involved in the incident; this must be recorded in the blue incident book found in the first aid area
* the supervisor or manager of the person must be present at the time the record is made; they must check the record is filled out correctly
* both persons completing the record must sign and date this in the appropriate sections on the page
* the supervisor or manager must report this to the officer in writing and then log the incident in the WHS recordkeeping system, under the section ‘WHS incidents’.

Information of a legal nature is best written in simple English. This ensures that information is in the present tense, has a clear action, and is not written in an unnecessarily descriptive way. Language should be everyday words and terms that your team members will understand; grammar should be simple with a short sentence structure, so appropriate punctuation and emphasis are applied.

Written information should be presented clearly on the page; it should include separate sections and paragraphs to make this easier to read and to find key information. Headings will also help others to find relevant parts, and you could also list information in bullet lists to differentiate the actions (or procedures) from the background or secondary information.

You should make sure information is accessible from work systems, in information files, or as hard copies in the work area. If workers have access to a computer and information systems, then electronic files may be more suitable. For workers without access to a computer, information must be printed and provided to them instead.

All WHS information must be monitored and updated as soon as anything changes; a system to re-issue and communicate information must be put in place to ensure your team members are kept up-to-date.

Any health and safety information that needs to be displayed in the work area should be placed in a position that is clearly visible, and it should be placed next to, or near to, what it applies to. For example, safety signs for using machinery will need to be positioned near the machine controls.

### Fotolia_2204087_XS.jpgActivity 1B

## 1.3 – Communicate information about identified hazards and outcomes of risk assessment and control to work team

By the end of this chapter, the learner should be able to:

* Inform the work team about identified hazards and the associated risks
* Instruct the work team to apply risk controls to manage the associated risks.

### Communicating hazards

Hazards must be communicated to the team; they will need to be aware of the dangers and harms that exist at work. Along with knowing the hazards, you should also communicate the risks that are associated with these hazards and how they are controlled.

You should:

* Specify the hazard
* Explain how the risks with the hazard may occur
* Explain and instruct how to implement and follow risk controls.

When communicating about the hazards, you may need to give examples of the harm they cause and how this may impact them. This can make explaining hazards and risks more relevant to your team, and it can help to reinforce the gravity of the situation. Hazards and risks should not be taken lightly; they should also be monitored as part of an organisation’s ongoing obligation to maintain health and safety.

The following methods may be used to inform the team:

* Team meetings and briefings
* Emails
* Phone calls
* Signs and notices
* Memos.

### Hazard identification

It is imperative that you identify and report hazards in your workplace, so these are communicated to the workforce. All employees, as well as all visitors and customers, must be informed about the hazards that can affect them.

Common hazards include:

* Electrical hazards
* Slip hazards
* Allergy hazards
* Chemical hazards
* Blocked fire exits
* Falling objects
* Traffic risks around the workplace.

How to identify hazards

There are certain steps you can take to identify hazards around the workplace, as hazard information can come from a variety of sources.

Remember, you are not just looking for hazards that affect you and your colleagues, but everyone who enters the workplace. That includes children, the elderly, and disabled people, so you must approach hazard identification from numerous angles.

These methods might be used for the identification of hazards:

* Examining Commonwealth and state or territory WHS acts, regulations, and codes of practice:
* this will help inform you about the areas where hazards are usually encountered, and you can then check your own workplace for signs these exist
* Checking equipment and machinery before and during work:
* equipment and machinery can often cause hazards, especially if they are not checked and maintained regularly
* Consulting work team members:
* holding meetings with team members from every level of the hierarchical structure can help bring safety problems to your attention
* Workplace inspections and observations:
* both planned and unplanned inspections and checks can be used to spot hazards
* Housekeeping:
* regular cleaning and maintenance can often reveal safety issues
* Reviewing health and safety records, including hazard reports, hazardous substances and dangerous goods registers, and injury records:
* this may highlight hazards in processes, systems or procedures
* WHS audits and review of audit reports:
* results from audits can reveal high-risk areas of your organisation.

### Risk assessment

When hazards are identified, the risks must be assessed. Work health and safety laws outline this as part of the risk management process.

Risk management:

* Identify the hazards
* Assess the risks
* Control the risks
* Review the risks.

The outcomes of a risk assessment will identify how severe the harm could be, and how likely this will happen. It should also categorise the risk, so you know their level of importance for causing harm and damage. This information should be given to the team, so they are fully aware of the implications with risks and why risk controls are in place for them to follow.

### Fotolia_2204087_XS.jpgActivity 1C

# 2. Implement and monitor work team consultative arrangements for managing WHS

**2.1.** Communicate importance of consultation mechanisms in managing WHS risks to work team

**2.2.** Apply consultation mechanisms to facilitate work team participation in managing work area hazards, according to organisational policies and procedures

**2.3.** Contribute to managing issues raised through consultation mechanisms, according to organisational consultation procedures and WHS legislative requirements

**2.4.**Communicate outcomes of consultation about WHS issues to work team

## 2.1 – Communicate importance of consultation mechanisms in managing WHS risks to work team

By the end of this chapter, the learner should be able to:

* Determine WHS consultation mechanisms
* Communicate key information about consultation mechanisms
* Highlight the importance of consultation mechanisms in managing work risks.

### WHS consultation

WHS consultation exists to support the achievement of work health and safety. This helps the employer and employee, and is a requirement of WHS law. Consultations on health and safety must be done when matters or changes affecting workers’ health and safety take place.

For example, WHS consultation should take place when:

* Making changes to work processes, systems or procedures
* Discussing and making decisions on risk controls
* Resolving health and safety issues
* Monitoring workers’ health or the work environment.

WHS consultation is where your organisation shares information about health and safety in order to inform or to make decisions about this. Management must provide relevant information that enables workers to be safe, and they must talk about the issues or concerns that exist. They need to listen to the opinions and feedback that workers give in return for an issue or need, and then consider all views to make decisions that are well informed.

Consultation meetings may be carried out with the officer(s), WHS duty holders, human resource staff with WHS responsibilities, work health and safety (WHS) representatives and workers. WHS representatives can attend on behalf of a workgroup; they will liaise with their workgroup to provide information and gain workers’ opinions, which are then shared in the consultation.

Under WHS/OHS laws, workers have the right to access health and safety. Although specific rights differ in legislation between state and territories, there are many that overlap and are considered essential rights for all employees.

Workers have the right to:

* Be consulted on workplace health and safety issues and decisions
* Elect a health and safety representative
* Share their thoughts on WHS matters with the representative
* Be supplied with safe work systems
* Be provided with relevant WHS training and supervision
* Access to appropriate welfare facilities, such as toilets, lunchrooms, and first aid
* Be protected from workplace discrimination and violence
* Sufficient break and holiday entitlements.

### Consultation mechanisms

As well as WHS consultation meetings, other consultation mechanisms exist to maintain work health and safety. These act as a means to both provide and gather WHS information, and can help improve health and safety. A mechanism is a system or process that achieves an end-result; in this case, to consult about WHS matters.

For example, consultation mechanisms may also include:

* Toolbox meetings to discuss health and safety in work tasks
* Information notices on notice boards, intranet systems and newsletters
* Hazard and incident reporting
* A health and safety committee that can assist with maintaining work health and safety
* The election and role of a WHS representative in WHS consultations and activities.

### Communicating WHS consultation to the work team

When you talk about WHS consultation meetings and other mechanisms with your work team, you should explain the processes and the benefits that each will bring. Processes may vary between organisations, and you should ensure that your team is aware of the mechanisms available and how they must be used.

You should communicate:

* The WHS mechanism and its purpose
* The procedures and systems that need to be followed
* When and where mechanisms can be found or accessed
* When workers may need to use these mechanisms – you may want to provide an example to make this clearer.

The benefits can be numerous and will help to promote and maintain work health and safety. For example, consultation mechanisms provide the organisation with a way to share information, and they give workers the means by which to report concerns. They help to keep the communication flowing between management and workers.

WHS is concerned with identifying and managing risks to make work safe. Consultation mechanisms give workers the ability to communicate about hazards and risks, and to assist in the identification of risk controls that will make these safe. Monitoring can also be considered as another mechanism; monitoring risk controls ensures that workers and management keep a check on these and are able to make adjustments when needed.

### Fotolia_2204087_XS.jpgActivity 2A

## 2.2 – Apply consultation mechanisms to facilitate work team participation in managing work area hazards, according to organisational policies and procedures

By the end of this chapter, the learner should be able to:

* Inform the work team about the consultation mechanisms used by the organisation
* Communicate procedures and processes for consultation mechanisms.

### Using consultation mechanisms

It is vital that you apply the appropriate consultation mechanisms for your organisation, and those which are most likely to facilitate the participation of your work team to manage work area hazards.

Work area hazards will be specific to your workspace, premises, equipment, work processes and the type of work that you do. An organisational approach will be taken in the form of WHS consultation meetings; as a manager, you also need to make sure mechanisms are being used to manage the day-to-day work.

You will need to encourage workers to participate and answers any questions they may have about its purpose and what they need to do. The work team will look to you for direction and clarification. You should facilitate the work team’s involvement in the way that supports them best. This can include demonstrating actions, and it may include providing further information to explain processes.

Procedures should follow your WHS policies for consultation mechanisms; they need to identify the actions that workers should take, along with any equipment or tools that need to be used. For example, in a toolbox meeting, procedures may state that the meeting will be led by you (the manager), that workers are required to participate, and that the meeting should be logged and any hazards or risks documented.

WHS consultation

This is an organisational consultation mechanism, as briefly mentioned in section 2.1 of this unit. This is usually in the form of a WHS consultation meeting; however, additional communications, such as follow-up meetings, team discussions, surveys and written communications, may also take place. The organisation will provide information relating to a work health and safety matter, and workers will then be given time to respond and contribute according to the purpose of the meeting.

A consultation process will give workers the opportunity to find out about health and safety, share their experiences, voice concerns, and to be more involved in the decisions that are taken. This also ensures workers carry out their responsibility (under WHS law) to maintain their health and safety. For example, a worker can provide valuable information about a hazard that is not seen from a management perspective; if workers do not speak up, their health and safety may be put at risk.

This consultation will be guided by senior management and WHS duty holders. You will only need to make sure your team is aware of any organised meetings or communications, and what they need to do to take part.

WHS representatives

If your work team is represented in WHS consultations by a WHS representative, they must be given access to this person and time to discuss the health and safety issues or concerns that arise. These representatives will usually have other roles in the organisation, and they will often come from a number of different areas, departments, and specialist business areas. It may be that the representative is a part of your work team or you may need to liaise with another department to facilitate these arrangements. When a consultation or a health and safety matter needs to be discussed between the team and the representative, you should ensure that WHS policies and procedures are communicated and followed.

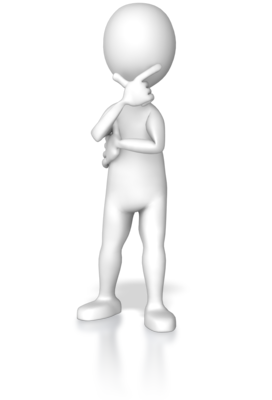
Health and safety committees

A health and safety committee can be established by the organisation to assist with health and safety, and they can be established at the request of five or more workers. They will meet at least every three months to monitor and discuss health and safety (including hazards and risks). Members of the committee should include employees from all areas of the organisation, and at all levels of the hierarchy. At least half of the committee must be made up of workers that have not been nominated by management.

WHS hazard and risk assessment

This consultation mechanism can include one or more workers. This is following hazard identification and risk assessment procedures to identify and manage any found hazards. It is best done in collaboration where the skills, knowledge and experience of the work team can be used together. Organisational policies and procedures will need to follow WHS guidance for hazard and risk management (the risk assessment process has been identified in section 1.3 of this unit).

More on hazard identification

Hazard identification can include one or more of the methods listed in section 1.3. Procedures must be developed to gather and record information according to your work environment. This can include gathering aggregate information and data, and using tools to present this (for example, a hazard checklist or a spreadsheet program). Aggregate information is that which is collected about a specific area or aspect of WHS, such as incidents relating to a work process, or the number of times the same issue has been experienced. It can include personal details; if so, these details must be protected (such as the names of workers) and not disclosed. It will be necessary to remove personal information, so you can discuss figures, statistics and common experiences without infringing on a person’s right to confidentiality.

Aggregate information can include:

* The number of workers who have had an incident
* The demographics of workers involved in incidents (for example, age, gender or behaviours to risk)
* Details of hazard reports.

Once information is collected, the risks can then be assessed and the steps taken to manage them. (See the next section for further information on managing risks).

Regular team meetings

Regular team meetings – both formal and informal – will allow the work team to get involved in WHS management. They should be encouraged to make suggestions and raise problems and concerns which relate to the safety of workers, customers, and anyone else who steps foot in the workplace. Meetings specifically about health and safety in relation to a job, project or task, are known as toolbox meetings or talks.

Team meetings should:

* Inform all team members about hazards and risks in the workplace
* Give all team members the chance to raise issues
* Allow for the time to explain what action has been taken to manage hazards since previous meetings.

Individual performance management

Regular performance meetings with individual team members can significantly help individuals to feel involved with WHS management. You should look at their tasks and how well they have been performing them, and whether there are any areas where safety could be improved. These meetings should be conducted at regular intervals to track an individual’s performance, and to allow them the opportunity to provide feedback on their performance and any safety issues, such as hazards and risks.

Early response

Your organisation’s ability to minimise and eradicate risks and hazards will depend on its ability to respond quickly to worker feedback.

You will need to react quickly and take action when employees:

* Make suggestions
* Make requests
* Raise concerns
* Report on safety problems and hazards.

### Fotolia_2204087_XS.jpgActivity 2B

## 2.3 – Contribute to managing issues raised through consultation mechanisms, according to organisational consultation procedures and WHS legislative requirements

By the end of this chapter, the learner should be able to:

* Participate in managing WHS issues with organisational management
* Provide information relevant to the issues, according to communication conventions and protocols
* Follow WHS legislative requirement to manage issues.

### Managing the issues raised

Different issues may be raised during consultation mechanisms, and it will be your responsibility to help resolve the issues for the team. There may be a WHS hierarchy, which identifies who you need to speak or communicate with to do this; alternatively, you may need to take action yourself.

The speed at which you find and implement solutions to health and safety issues is extremely important. While risks and hazards remain, your work team and others may be put in a position of danger, so you should always try to act quickly.

You may have to work with a number of different personnel to solve problems and minimise risks around the workplace.

Managing issues will require you to:

* Speak with the relevant personnel to report and initiate risk resolution
* Assess all health and safety concerns
* Prioritise health and safety issues in terms of the danger they pose to others
* Consider the options for the minimisation of risks or complete removal of hazards
* Discuss all of the options with work colleagues and make a decision, after considering the evidence
* Look ahead to determine whether problems are likely to remain, or if new issues are likely to arise.

Following consultation procedures to resolve WHS issues

Issues that need to be resolved with the input of management will require you to participate in follow-up discussions or communications. Once decisions are made after assessing the options, a course of action should be determined. Consultation requires cooperation and a willingness to do what is best in the given situation. Compromises may need to be made on all sides in order to choose the most appropriate option that meets health and safety criteria, and which is feasible for the organisation.

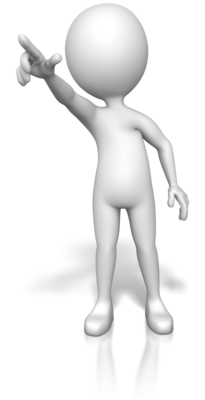
You will need to follow communication conventions and protocols to facilitate consultation and to provide feedback to others. Communication conventions refer to the way in which you present information in written and visual form; for example, this includes the style of writing, punctuation, spelling and grammar. It should look correct to organisational presentation requirements and be written in a style that is suitable for the business environment.

Communication protocols are the rules that need to be followed to perform a communication. For example, a meeting with management may have the protocol that each person speaks in turn around the table; when providing feedback, a protocol could be that you provide this in writing, or that you log when feedback is given in spoken communications.

Questioning and active listening

When involved in discussions, you will need to use good communication skills to articulate and put your points across. It also helps to prepare beforehand, so you know what you want to say and achieve.

Along with the ability to speak clearly and concisely, you will need to use good questioning and listening skills. It is important to know how to ask questions in the right manner, so you encourage information sharing. You should determine an appropriate point at which to ask questions, and avoid interrupting the speaker as much as possible; use an approach or style that is personable and not confrontational. Different types of questions can be used, depending on the situation and what is being discussed.

Question types include:

* Open questions – these prompt the speaker to elaborate about a point or to provide further information; for example, ‘Why do you think…?’
* Closed questions – these are straightforward questions that require a short and clear answer, such as a ‘yes’ or ‘no’, and are useful to clarify information; for example, ‘How many times has this occurred?’
* Clarifying questions – these are useful if you need to check that information is correct; for example, ‘Am I right to believe that…?’
* Probing questions – these are used to find out information from the speaker in a targeted way; for example, ‘What happened when you…?’

Active listening involves giving your full attention to the person speaking. Not only is this about hearing what the other person is saying, but it is also about being engaged in the communication. You should maintain your full concentration when listening to others and make sure that you do not interrupt them. At a suitable interval or at the end *(and if appropriate to the situation)*, you should confirm your understanding is correct by paraphrasing or summarising this back to the speaker.

Active listeners will use these non-verbal techniques:

* Smiling and nodding to show agreement
* Maintaining eye contact
* Maintaining a direct and open posture
* Mirroring the other person’s body signals
* Ignoring potential distractions
* Respecting personal space.

### Adhering to WHS requirements

It is important to adhere to WHS standards when solving problems and dealing with health and safety issues. WHS legislation will require you to reach a certain standard of safety in each area of your organisation, and this level must be kept in mind when finding solutions.

For example, you may need to make sure that:

* Workers are given breaks at regular intervals
* Personal protective equipment (PPE) is supplied and readily available
* Incidents are investigated as soon as possible
* There are enough first aid provisions on site
* Fire doors and exits are kept clear
* Hazardous materials are stored according to specifications.

### Managing the risks

Once risks have been identified, they need to be assessed and managed. The following is taken from Safe Work Australia and provides an outline of the steps that should be taken. As briefly stated in section 1.3 of this unit, risk assessment is about determining the likelihood and severity of the risks that are associated with a hazard. It is important to know how an associated risk may impact, so the correct level of protection can be determined and applied.

Therefore, a risk assessment process will include:

* Working out how hazards may cause harm:
* this includes looking at the effectiveness of existing controls and at situations that may occur to trigger an incident that causes harm; you should look at the whole process or chain of events in relation to the hazard
* Working out how severe the harm could be:
* this is understanding the type of harm that may be experienced and how serious this will be; this can be physical harm, environmental harm and psychological harm, and can be felt immediately or sometime after
* Working out the likelihood of the harm occurring:
* this will include asking questions to find out more about the risk, and rating the risk to categorise its likelihood; questions to ask include:
* how often is the task done? (does this make the harm more or less likely?)
* how often are people near the hazard? (how close do people get to this?)
* has it ever happened before, either in your workplace or elsewhere? (how often has it occurred?)

Risk controls vary in their degree of effectiveness, and more than one control may be needed to manage the known hazards.

The hierarchy of risk control measures

The hierarchy of control measures allows organisations to identify the methods that can be used to manage the known risks. Once the correct measures have been chosen, the actions that need to be put in place to achieve this can be more clearly identified.

The hierarchy of control measures in order of preference are:

* Eliminate the risk
* Substitute the hazards with a safer alternative
* Isolate the hazard from people
* Reduce the risks through engineering controls
* Reduce exposure to the hazard using administrative controls
* Use personal protective equipment (PPE).

These controls can be used to manage physical risks; they can also be applied to psychological risks. Some controls will better suit hazard management than others; looking at the above list, you can see that PPE will specifically apply to physical risks to exposure to hazards, such as chemicals, fumes, and manual handling tasks. In all situations, eliminating risk is the preferred method.

A risk control process will include:

* Following the hierarchy of controls to determine the appropriate method(s) to apply
* Determining and assessing risk controls for their suitability to manage the risk
* Applying the risk control(s)
* Supporting workers to implement the risk control(s), including roles and responsibilities, and training
* Monitoring and reviewing risk controls to make sure they are working effectively.

Source, ‘Model Code of Practice: How to manage work health and safety risks’ at Safe Work Australia, retrieved from <https://www.safeworkaustralia.gov.au/doc/model-code-practice-how-manage-work-health-and-safety-risks>.

### Fotolia_2204087_XS.jpgActivity 2C

## ****2.4 –**** Communicate outcomes of consultation about WHS issues to work team

By the end of this chapter, the learner should be able to:

* Inform the work team about the decisions made in consultation
* Provide explanations and information relevant to the WHS issues to the work team
* Choose an appropriate method of communication for providing outcomes to the work team.

### Documenting the outcomes of consultation

It is good practice to document the outcomes of consultation and discussions, so decisions and changes are recorded. This gives you something to refer back to in communications and means that you keep a history of the events. If outcomes result in a formal legal requirement, this must be documented as part of your organisation’s recordkeeping.

You can also use this information to assess work health and safety improvements or to show evidence of your compliance with WHS processes.

You should record:

* The health and safety subject matter
* The persons affected by this
* The persons involved in any consultations
* What the issue revealed
* The decisions made to manage this
* The actions that need to be taken and when
* The actions that have already been taken.

### Communicating the outcomes of consultation

If the consultation process is to be taken seriously in the future, and if all team members are to feel involved in the management of work health and safety, then you will need to communicate the outcomes of the consultation. You should explain decisions in relation to the issues and let your work team know what action has been taken as a result of this.

They will need to know how work will impact them going forwards. For example, your work team may need to implement a new risk control or adapt a work process to make this safer. Any instructions that need to be communicated should be given clearly.

You should look to make your work as transparent as possible, allowing all employees to see and understand how their contributions have affected WHS management in your organisation. However, you should take care not to disclose the personal information of others, or any organisational information that is considered to be sensitive or of a confidential nature.

You can communicate the outcomes of the consultation process by:

* Holding meetings
* Including information in a newsletter or another written communication
* Making records public
* Directly verbalising outcomes to the specific staff that this affects
* Erecting signs or notices.

### Planning and strategising

Once outcomes are decided, you may need to be involved in planning activities to implement solutions or direct actions.

Actions should be planned in sequence and be given an appropriate timeline for their completion. Factors, such as resources, work hours and skills, will need to be considered in plans, so the right arrangements to facilitate solutions can be made. There will be a need to understand the context, i.e., a high-risk hazard should be eliminated or managed with immediacy, whereas a low-risk hazard can be placed lower down on the list and attended to at a later time. Context is knowing and understanding the situation and any implications that will result from the actions you do or omit to do.

Along with planning activities, you should identify suitable strategies for your actions. When managing risks according to the hierarchy of risk control measures, your strategies are the control measures; for example, a combustible waste material stored on-site can be managed by using the strategy – eliminate the risk. A corresponding action would be to arrange the removal of this by a waste management company with a licence to handle hazardous substances.

Strategies can be used for different requirements in tasks; for example, to implement a risk control, you may take a collaborative strategy to involve all of the team. This way, they will all have equal understanding and accountability to follow the risk control. Alternatively, a strategy may be to complete an action within a specific timeframe. Strategies will give you the focus and direction that you need when you plan your work.

To form strategies, you need to:

* Know your end-goal
* Identify any requirements relating to this (for example, fulfilling a legal obligation, meeting a deadline, etc.)
* Identify your available resources
* Determine how you can use your resources to reach your end-goal
* Decide the approach (the strategy) that will enable you to reach that goal.

### Fotolia_2204087_XS.jpgActivity 2D

# 3. Implement and monitor organisational procedures for providing WHS training to work team

**3.1.** Identify and document team WHS training needs according to organisational requirements and WHS laws

**3.2.** Make arrangements to meet WHS training needs of team members in consultation with relevant stakeholders

**3.3.** Provide workplace learning opportunities to facilitate team and individual achievement of identified WHS training needs



## 3.1 – Identify and document team WHS training needs according to organisational requirements and WHS laws

By the end of this chapter, the learner should be able to:

* Assess team training needs
* Record team training needs according to organisational procedures
* Ensure team safety by planning WHS training.

### WHS training

WHS training will include basic health and safety induction training for new starters, and it will include other work-specific safety training. Induction training must be taken and recorded as part of your organisation’s responsibility to keep workers safe. Thereafter, training opportunities may appear when team members learn new skills, change or adapt their roles, or when a safety risk is identified. It will depend on your organisation and business industry as to the WHS training needs of your team.

As well as work-related training, your work team may also have WHS roles that require regular or yearly training.

WHS training includes:

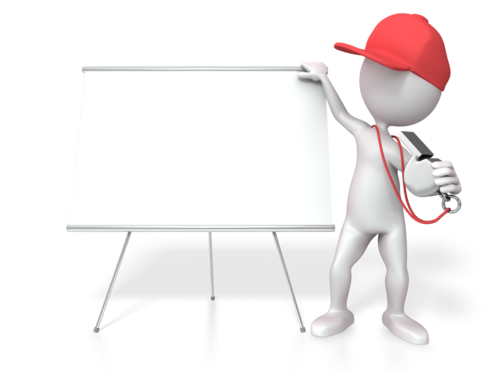
* Work health and safety induction training, such as:
* key personnel and their contact details
* code of conduct and employee policy information
* site orientation and site safety information
* first aid and emergencies
* reporting requirements
* work hours and entitlements
* submission of worker’s details for employee records
* Work-specific training, for example:
* working remotely or from home
* manual handling
* ergonomic awareness training
* equipment/machinery safety training
* WHS refresher training
* personal protective equipment (PPE) training
* WHS role training, for example:
* first-aid initial training and qualification, plus further first aid courses and refresher training
* fire warden training
* WHS representative role training
* WHS entry permit holder training
* WHS incident investigation training
* managing contractor safety on-site.

You should be aware that training needs will emerge at different times, and it is vital that you stay alert to identify when this occurs. Your team must be safe at work, and it will be your WHS responsibility to make sure they have access to the skills and knowledge that will be required to do this.

### Documenting WHS training needs

As a manager, you should have the responsibility of monitoring your team’s performance, not only with work but also in relation to team safety. You may keep your own records, or you may access a central information system to update team member’s records.

In regards to training, this may be the responsibility of another person or department, and your records may only need to list training that has been done and when this was taken. You may also need to make a note of yearly training requirements to schedule this with other work commitments and to liaise with training organisers.

If you need to compile your own records, you will need to establish a clear system to document and diarise training.

You should document:

* The team members requiring training
* What team members need training in
* When team training should or needs to take place.

Documenting training needs may also mean that you need to request training for your team; you should plan ahead to organise training, so your team members are not expected to work unsafely. You may also have training goals that you or the organisation has set, and it will be important to maintain the pace and momentum of these to prevent not reaching goals. For example, if you have a goal that all of your team is to attend training on using PPE, then you should plan when each person can attend and when this will take place. Plans will need to consider training costs and work schedules, so you may need to stagger attendance rather than send all of the team to attend at the same time.

### Activity 3A



## 3.2 – Make arrangements to meet WHS training needs of team members in consultation with relevant stakeholders

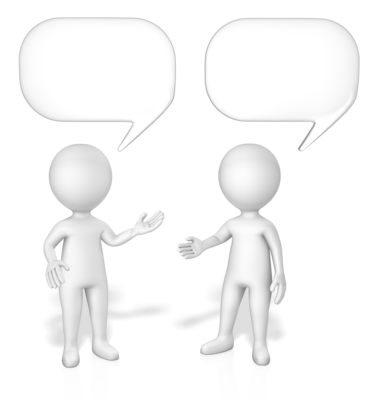
By the end of this chapter, the learner should be able to:

* Speak with stakeholders to facilitate team members’ WHS training
* Arrange training to fit alongside other team members’ work commitments
* Record WHS training attendance.

### Arranging WHS training with stakeholders

After speaking with team members to discuss and agree on WHS training needs, you will then need to make the arrangements for training. Your organisation may have a process to assess and approve staff training, and you will need to know and follow this.

For example, you may need to submit a written request to a WHS manager or human resource training employee. You may then need to await a response that acknowledges and approves the training. From this point, you, or another training employee, will need to contact one or more trainers (or training providers) and discuss and obtain information about the courses or programs they provide.

Once details have been gathered and a choice is made, you may then need to seek training budget approval before you are able to book training.

Stakeholders relating to WHS training may include:

* Management
* WHS personnel
* Human resource staff
* Training organisers
* Training providers (internal and external)
* Finance staff (to approve training costs).

Your team members will also be considered as stakeholders; you will need to liaise with them to agree on the final arrangements and dates for training.

When making arrangements, you will need to be aware of:

* The type of training that will work best for team members
* The types of training team members prefer:
* employees may prefer different learning styles
* How much training is required
* How long training will take:
* will there be disruption to normal business activity?
* Exactly what WHS requirements the training will contribute to improving.

### Implementing and monitoring WHS training

When training is carried out, you should record team member’s attendance and progress; any qualifications or certificates that are gained should also be noted down. If not in attendance yourself, you should ensure that you confirm team members’ participation with the training provider. You may want to speak by phone, or you may have an agreement in place to receive confirmation in writing.

You can speak with the team members after training to check how they found the course and whether it fulfilled their needs. You can also ask the trainer/training provider for a short account of the training and how team members faired. You should monitor training arrangements and activities to make sure WHS is carried out, and your work team is gaining the necessary skills and knowledge.

### Activity 3B



## 3.3 – Provide workplace learning opportunities to facilitate team and individual achievement of identified WHS training needs

By the end of this chapter, the learner should be able to:

* Determine different learning opportunities that can be used to facilitate team and individual achievements
* Identify the features of learning opportunities.

### Additional WHS learning opportunities

As well as organised training, other opportunities to improve WHS at work can also present themselves. For example, team members can be mentored by those with the skills and knowledge they require.

Learning opportunities should be assessed for their relevance and application. When consulting with your stakeholders, you can work collaboratively to identify appropriate workplace learning opportunities, according to resources. You should encourage workplace learning in your team and seek opportunities from your organisation where it is possible.

Learning opportunities include:

* Mentoring
* Coaching
* Supervision
* Informal WHS discussion and question sessions
* Role shadowing
* Online learning
* Professional qualifications
* Seminars and lectures.

Mentoring

Mentoring is where one worker is guided by a more experienced worker or manager for a defined period of time, or until a specific goal is reached, to develop their knowledge and skills. Organisations that provide mentorship schemes will identify suitable mentors that can assist workers. Mentors will need to have the time, patience and ability to interact with mentees, and mentees must be prepared to ask questions and seek guidance that will help them in return.

A timetable will be arranged to identify suitable session times where the mentor and mentee will meet to talk and discuss work. This can be for any length of time and frequency, but commonly, meetings will be weekly and can last approximately one hour. However, mentors often have an open door policy where the mentee can speak with them at other times if they need their guidance. Boundaries will need to be put in place to prevent the mentee from relying too heavily on the mentor for making decisions.

The purpose of mentoring can vary from role development, industry understanding, and other work requirements, such as working safely.

Coaching

Coaching is also a form of one-on-one support to facilitate personal and professional development. This differs from mentoring in that it seeks to help the individual to overcome a specific issue or learning need, and it will follow a structured approach. It is usually focused on using specific techniques and methods to learn how to do something. The coach will plan sessions around overcoming a problem or need, and the individual will go away and use these techniques and methods in their own time to learn how to overcome this. Similar to mentoring, fixed sessions will be arranged to work on issues and needs for a defined period of time.

Supervision

Some team members may benefit from additional supervision to learn specific WHS requirements, for example, when learning to use a new machine safely.

For a short period of time, supervision and instruction can be effective at helping employees get up to speed with their safe work practices. This also benefits employees who may have less experience or find it hard to adapt to new processes and procedures.

Informal WHS discussions

A proactive approach to arrange WHS informal talks, workshops, and question sessions on different work health and safety topics can boost knowledge and promote a more health and safety-conscious workplace. This should be carried out by WHS personnel with relevant knowledge about your workplace’s safety requirements. It can be done to a schedule or just when a need arises.

Role shadowing

For specific situations and learning needs, it can be beneficial to arrange for the team member to shadow another worker with the relevant knowledge and experience. To do this, you should first ask the experienced worker if they are willing to have the other person shadowing them. It should be for a short period of time or for a specific task; demonstrating work can help visual learners to absorb information in a way that reading or listening will not.

Online learning

If your organisation has the technology and capabilities, providing your team with online learning in the workplace can be a great way to cover topics and to check their understanding. For example, you can have a presentation style learning program that includes short questions at different points during the course. Workers can complete short sections and revisit the course at a time that fits in with their work commitments. The answers can then be assessed afterwards, and a measure of your team’s understanding can be gained.

Professional qualifications

Your organisation may set aside a training budget to assist workers in gaining professional qualifications. This can help team members to progress and can include work health and safety. Time for workers to study or attend college may also be included in your organisation’s professional development initiative. This can benefit the organisation as well as the worker; increased knowledge and awareness can boost your team’s effectiveness.

Seminars and lectures

Opportunities to attend seminars and lectures can be of great benefit. They allow workers to gain knowledge from experts and industry specialists, and can be a good opportunity to discuss issues first-hand away from the workplace. These are usually one-to-three days in duration, depending on the subject matter and level of detail. Seminars and lectures can include presentations, group discussions, activities, and question and answer sessions.

### Activity 3C



# 4. Implement and monitor organisational procedures and legal requirements for identifying hazards, and assessing and controlling risks

**4.1.** Identify and report on hazards in work area according to organisational policies and procedures, and WHS legislative requirements

**4.2.** Contribute to managing and implementing hazard reports according to organisational policies and procedures, and WHS legislative requirements

**4.3.** Implement procedures to control risks using the hierarchy of control measures according to organisational policies and procedures, and WHS legislative requirements

**4.4.** Identify and report inadequacies in existing risk controls according to the hierarchy of control measures, and WHS legislative requirements

**4.5.** Monitor outcomes of reports on inadequacies, as required, to ensure prompt organisational response

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## 4.1 – Identify and report on hazards in work area according to organisational policies and procedures, and WHS legislative requirements

By the end of this chapter, the learner should be able to:

* Monitor the work area for signs of hazards
* Follow organisational procedures to report hazards in the work area.

### Work area hazards

Further to section 1.3 of this unit, hazards should be looked out for, and when found, they should be addressed to maintain safety. As well as planned hazard and risk assessments by your organisation, you should also carry out periodic hazard checks in the work area to make sure these are managed. For example, if your team’s work area is prone to becoming cluttered, it is a good idea to check on the workspace later on in the day and, if needed, remind your team to keep access routes clear and to remove trip hazards from the floor. The methods listed to identify hazards in section 1.3 can be used.

Further to section 1.3, hazards may include:

* Fire hazards:
* for example, placing flammable materials close to areas where excessive heat is created
* Electrical hazards:
* for example, a plug socket that has been damaged and is left unfixed
* Slip hazards:
* for example, wet floors after cleaning processes have been completed
* Flooding:
* for example, areas may flood if the workplace is positioned close to a river or water source and has poor flood defences
* Chemical hazards:
* for example, the incorrect storage of acidic chemical supplies
* Allergen hazards:
* for example, inappropriately labelled food in the organisation’s cafe
* Falling items:
* for example, items that have been stacked incorrectly.

A process to monitor the workplace for hazards and to check the effectiveness of existing risk controls should be followed. This may be relevant to the work processes that your team performs, such as machine handling, hygiene, PPE, and so on.

### Reporting hazards

Reporting is an essential element of work health and safety; it ensures that information is shared and issues are dealt with according to the risks they pose. Your organisation will have reporting protocols and procedures for hazards and risks to make this easier to do.

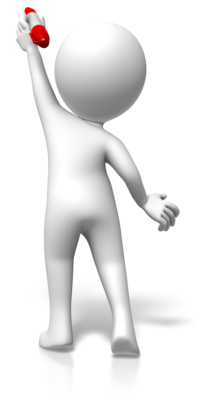
Reporting hazards may include the following methods:

* Telling the relevant managers and WHS personnel immediately in-person or by telephone; this will be most appropriate for a serious hazard where direct action should be taken
* Completing a hazard report form for further risk management
* Sending an electronic communication or posting information to alert others in the workplace
* Updating a centralised WHS information system to record the hazard
* Placing a notice near to the hazard to warn others of its presence
* Telling the work team and other workers there is a hazard present
* Completing a hazard/risk register in the relevant work area.

Reporting methods must support the work environment; your organisation should determine procedures that follow policy requirements. When reporting hazards, policy should outline that hazards must be reported and assessed according to the risk management process.

Procedures need to be effective for communicating what the hazard is, where it is found, the risks (if known) and when it was found.

Procedures may include:

* Writing hazard information down to ensure a written record is made
* Writing or informing others that a hazard is present to prevent the risk of harm
* Providing your name and the date of the report to make sure this is traceable
* Documenting the hazard in WHS records.

### Activity 4A



## 4.2 – Contribute to managing and implementing hazard reports according to organisational policies and procedures, and WHS legislative requirements

By the end of this chapter, the learner should be able to:

* Work collaboratively to manage and implement hazard reports
* Follow WHS legislative requirements to manage hazards.

### Assisting with the management of hazard reports

As well as making hazard reports, you may need to assist your team in making hazard reports. Your team will seek guidance at different times, and they may ask for the correct procedure to report the hazard they have found, or they may need help in determining if they have in fact found a hazard that should be reported. As a team manager, it will be your role to guide the team in all aspects of WHS compliance.

At other times, you may also be asked by management to assist in the risk management process. You may need to look at hazard reports relevant to your work area to assess the risks, and you may need to immediately address the hazard and associated risks that have been found.

You will need to:

* React quickly after the hazard is reported:
* this will further minimise the risks associated with the workplace hazard
* Take appropriate action to remove or manage the hazard and all associated risks
* Take action to prevent the same problem from happening in the future.

Working with your team

You should always aim to work with the employees who have identified problems and produced reports. Your team (and any relevant colleagues) will be able to provide you with vital information about the nature of the hazard, which will increase your chances of being able to deal with it effectively.

Employees will be able to tell you:

* Where the hazard is located
* When the hazard arose
* How many times it has been a problem
* Whether it has negatively affected anyone or caused an injury.

### Collaborating in WHS

Collaborating with others allows you to work together to achieve a common goal. To collaborate successfully, you and the other persons will need to be willing to work alongside each other to perform tasks. You will need to share information as necessary to facilitate this achievement, and follow the roles that have been decided and agreed upon in the group. There should be one person taking the lead in collaborative working; this ensures that everyone works according to one set of instructions or requirements. It will prevent repeating or omitting work, and will ensure that everyone works to support the end-goal.

For this to work well, you should establish a system to communicate and to keep each other updated on work progress.

Collaborating will include:

* Establishing a schedule for completing activities
* Identifying people’s strengths and using these in activities
* Participating in problem-solving activities
* Being prepared to compromise in tasks and decision-making
* Recognising the contributions of others.

The action you take must be appropriate for the type and severity of the hazard that is identified. Your organisation may have specific policies and procedures about the type of action that needs to be taken in certain situations, and you will be required to follow these exactly. Also, being aware of the content of WHS legislation will help you to identify the appropriate actions in any given situation.

### Activity 4B



## 4.3 – Implement procedures to control risks using the hierarchy of control measures according to organisational policies and procedures, and WHS legislative requirements

By the end of this chapter, the learner should be able to:

* Follow procedures to apply risk control measures
* Use the hierarchy of risk control measures to make decisions on risk controls
* Perform decision-making to reach appropriate conclusions.

### Risk control procedures

Once hazards and risks have been assessed, and the risks prioritised, risk control procedures should be followed. As mentioned in section 2.3 of this unit, the hierarchy of risk control measures from WHS legislation should be used when deciding controls.

*The hierarchy of control measures in order of preference are:*

* *Eliminate the risk*
* *Substitute the hazards with a safer alternative*
* *Isolate the hazard from people*
* *Reduce the risks through engineering controls*
* *Reduce exposure to the hazard using administrative controls*
* *Use personal protective equipment (PPE).*

The control measures are ranked in order of them being the most effective to the least effective. The lower down the list, the more likely it is that you will need to use more than one risk control measure to manage the risk safely. In all scenarios, the preferred option would be to eliminate the risk, but this is not always possible; therefore, the hierarchy identifies the different approaches that can be taken to manage the risks.

Engineering controls relate to changes that are made through machinery and equipment, such as introducing new equipment to manage a risk. Administrative controls are changes that are made in planning and organising work, such as a rule to minimise high-risk tasks to a maximum of 15 minutes. Some control measures may also overlap, such as an engineering control to introduce a machine guard, which can also be considered as isolating the hazard from people. However, following the hierarchy of risk control measures will mean that you can assess the best ways to manage the risks; each control encourages you to look at your organisation’s work processes and environment.

Procedures for applying the hierarchy of control measures may include:

* Referring to codes of practice, industry guidance or WHS information to determine how the risk should be managed
* Looking at the hierarchy of controls and determining which will be the most appropriate to use (this will include assessing what is feasible and cost-effective)
* Identifying the specific actions that can be taken to make the risk safe, according to the chosen risk control
* Planning and organising risk control implementation (this may include new work procedures, training, role allocation, new work design, changes to work processes, and so on)
* Implementing risk controls, making sure everything has been put in place to support this
* Monitoring risk controls to determine if they are working as expected to manage the risk.

Your organisation will establish procedures for WHS that are suitable for its environment and resources. All WHS policies and procedures should enable the organisation to comply with WHS legislation.

### Reaching risk control choices

To determine the risk controls that are the most appropriate, you should look at your WHS aggregate data. As mentioned in section 2.2 of this unit, aggregate information and data will be specific to your organisation and its WHS. It will tell you the numbers, percentages and actual incidents that are relevant to your organisation’s WHS performance. This can help you to make decisions about what is most important or feasible to do. Using this type of data will then complement your knowledge that has been gained on industry requirements, best practice and WHS legislative needs.

Decision-making is being committed to carrying out an action and seeing this through. Although a straightforward concept, when making decisions that affect others, this can make the process more difficult to do. To make decisions that you are comfortable with, you need to gather all of the information and understanding that you need, and then make a decision that is fully informed. In business, this is often done collaboratively to ensure that a variety of perspectives and experiences are drawn upon. In relation to WHS, you need to make decisions that will improve health and safety at work.

Decision-making will include:

* Identifying the goal or objective that needs to be achieved
* Gathering the relevant information and data for assessment and analysis
* Establishing the criteria that needs to be met in relation to decision-making (for example, improving WHS incident figures by five percent)
* Evaluating information, data and evidence to reach a point where a decision can be made
* Engaging with others (when necessary) to discuss the options and a preferred course of action
* Making a decision and implementing the corresponding action(s).

### Activity 4C



## 4.4 – Identify and report inadequacies in existing risk controls according to the hierarchy of control measures, and WHS legislative requirements

By the end of this chapter, the learner should be able to:

* Monitor risk controls for their effectiveness at meeting the hierarchy of risk control measures
* Report inadequate risk controls according to the severity of risk for safe resolution.

### Monitoring implementation of risk controls

Once controls have been implemented, a process to monitor their use should be put in place. This will allow you to check if they are effective, if your team is implementing controls correctly, and if there are any additional hazards that have appeared as a result of using these controls.

Monitoring is an important part of your management role; it ensures that you check controls first-hand and review their use. You can see whether controls are adding on time to work tasks and if risks are being managed to the levels that are deemed safe.

A monitoring process will include:

* Regular observation or assessment of work performance, for example:
* supervision of the risk control
* reading work logs
* assessing work performance records
* Identification of correct and incorrect use of risk controls, for example:
* evidence of safety improvements
* missed steps in risk control procedures
* unclear risk control instructions
* Documenting risk control use, for example:
* how many times this has been used
* how team members are finding the risk control
* any occurrences where this has proved to be effective or ineffective
* Making conclusions on the effectiveness and use of risk controls, for example:
* whether the risks controls have improved safety
* whether risk controls have been integrated successfully in work processes
* if implementation has affected work productivity.

### Identifying inadequate risk controls

Your monitoring of risk controls should identify what is working and what is not working. Those that do not provide the correct measure of safety or are least effective will need to be determined for their inadequacy. It will be necessary to confirm those risk controls that do not comply with the hierarchy of risk control measures.

You will need to highlight those that are inadequate, so they can be reassessed, removed and substituted with more effective strategies that do.

For example, if you identify that wearing PPE is not an effective strategy for protecting workers using machinery, then your organisation will need to add additional or alternative protection, such as new safe operating procedures.

Inadequate risk controls could be:

* Those that fail to reduce risks and remove hazards
* Those that fail to deal with the severity of the hazard
* Controls that are not promoted or communicated properly
* Outdated controls that no longer work for your organisation
* Controls that fail to meet standards set by WHS regulations.

### Reporting inadequate risk controls

You should report inadequate risk controls to the relevant persons; this can include management, WHS personnel, and those using the controls (your team and any others). Interim safety measures may be required until adjustments are made or new controls are found.

It is important that you report all risk control procedures that you find to be inadequate, so that decision-making personnel can remove them or make the necessary adjustments. You should use a reporting method that suits the particular need for action. For example, if you identify risk controls that are outdated and that fail to remove dangers in the workplace, then you will need to report this verbally, as soon as possible. The more time you take to report inadequate risk controls, the higher the chance that someone will suffer an injury or illness.

You will need to:

* Report all risk controls that do not meet WHS and organisational standards
* Report all risk controls that are outdated
* Explain why risk controls are inadequate
* Recommend adjustments or improvements to risk controls.

### Activity 4D



## 4.5 – Monitor outcomes of reports on inadequacies, as required, to ensure prompt organisational response

By the end of this chapter, the learner should be able to:

* Follow-up on reports made of inadequate risk controls to ensure they are addressed
* Maintain health and safety in the workplace by seeking resolution of inadequate risk controls.

### Monitoring outcomes of inadequacies

When reports of inadequate controls have been made, it will be necessary to monitor the outcomes until an appropriate resolution is made. You should not leave the responsibility of risk controls entirely with other persons; you will need to make sure that follow-up actions are taken to improve current health and safety.

You should track the progress of reports from the moment that they are delivered until the moment that a solution is found. Depending on organisational policies and procedures, you may track progress by regularly asking questions, making enquiries in writing, or by checking a centralised database (if regular updates are logged).

You will need to:

* Be aware of the reports that have been made
* Know how to track reports of inadequacies
* Understand who is responsible for taking action on reported inadequacies
* Find out what is being done to combat inadequacies
* Establish timeframes for solutions to be reached
* Take action yourself, if this is your responsibility.

You may also be involved in identifying or implementing new risk controls with management or WHS personnel and, if so, you should make sure that meetings take place and decisions to resolve issues are taken. Once decisions are made, responsibility for planning and implementing adjustments or new risk controls must be assigned to one or more persons. A schedule can then be created to outline implementation.

### Seeking appropriate resolution

A timescale for resolving inadequate controls should be communicated; when you fail to see that a resolution is made, you should check on its progress. It may be that delays have occurred in resourcing new controls or that a decision has not yet been made on an aspect of this. There could be lots of reasons why this has been held up, and as a manager, you should enquire about this on behalf of your team and your duty to maintain health and safety.

You can also remind management that the responsibility for WHS is with them and that workers who feel work is no longer safe to do, are entitled to stop this until it is. It may also be found that confusion has occurred and that someone has failed to complete an action that was required. Your enquiry could prompt this to take place.

Equally, it may be that you can obtain permission to introduce new risk control procedures yourself.

For example, if a faulty piece of machinery has caused an injury to one of your team, but no action has been taken since it was reported to senior personnel, then you could arrange for a professional maintenance company to visit and fix the equipment. However, you should still follow procedures and seek approval on the expected cost of this from management before you go ahead.

### Activity 4E



# 5. Implement and monitor organisational procedures for maintaining WHS records

**5.1.** Complete and maintain WHS incident records of occupational injury and disease in work area according to organisational policies and procedures, and WHS legislative requirements

**5.2.** Use aggregate information and data from work area records to meet organisational recordkeeping requirements

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## 5.1 – Complete and maintain WHS incident records of occupational injury and disease in work area according to organisational policies and procedures, and WHS legislative requirements

By the end of this chapter, the learner should be able to:

* Follow policies and procedures to document WHS incident records
* Determine notifiable incidents that need to be reported to the WHS regulator
* Follow organisational incident response procedures.

### WHS incident records

Incident records can fall into different categories, but all should be reported and recorded as part of an organisation’s WHS management system. A standard incident form will exist to record workplace incidents, and this must be completed with the persons involved.

WHS incidents include:

* Accidents (both injury and non-injury-related)
* Near misses (where a potential incident or accident was prevented)
* Illness
* Security threats
* Environmental/site contamination
* Physical aggression in the workplace.

Other records may need to be made, depending on the type of incident, injury, or illness.

For example, WHS records may also include:

* Health monitoring records
* WHS meeting and consultation records relating to the incident
* First aid and medical-related records
* Workers’ rehabilitation (return-to-work) and compensation records.

### Completing and maintaining records

You will need to make sure you include specific information in all reports made about incidents, injuries, and illnesses. For example, you should always include the name and personal details of the person that the incident has affected, as well as the cause, or causes, of the incident.

Including the information below will make it easier to take appropriate action and to track reports through to the solution.

You will need to record:

* Date and time of the incident
* Location of the incident
* The type of injury or illness
* The severity of the injury or illness
* The cause of the injury or illness
* What happened as a result of this
* The name and details of the person that the illness or injury affected
* The date the report is made (and who is making the report)
* Witness statements (if applicable)
* Any action taken to remove risks and protect others from similar hazards.

Notifiable incidents

There is a requirement for businesses and undertakings to notify the appropriate WHS regulator of ‘notifiable incidents’ which have happened in the workplace.

The following requirements are specified under WHS law:

* Reporting a ‘notifiable incident’ to the regulator as soon as possible afterwards
* Providing written notification (if so requested) within 48 hours of the request
* Preserving the incident site until the arrival of a regulatory inspector (as directed by the regulator).

This is usually carried out in the workplace by someone who is appointed to make this type of report, and would initially be done by telephone or by using a specific software application that is downloaded to a device (if one exists from your regulator).

Notifiable incidents:

* The death of a person
* A serious injury or illness
* A dangerous incident (even if no one is injured).

When making a notifiable report, they will require information about the incident. The person reporting must have the correct information ready to provide.

You may need to provide the regulator with the following types of information:

* A general description of the circumstances in which the incident happened
* The date and time at which the incident happened
* The location of the incident
* The names and titles of people involved in the incident
* The details of individuals conducting the business or undertaking
* The actions that have been taken in response to the incident, such as hospital treatment or removal of the hazard
* The name and title of the notifier.

Source ‘Incident notification fact sheet’ from Safe Work Australia, retrieved from [Incident notification fact sheet | Safe Work Australia](https://www.safeworkaustralia.gov.au/doc/incident-notification-fact-sheet)

### Incident response

When an incident occurs, procedures to respond must be followed. Initially, this should include assessment of the incident and providing any first aid to individuals with injuries. It can also include making the incident site safe, such as switching off machinery and applying site contamination procedures. If the site needs to be made safe, care should be taken to preserve the space in case a regulator is required to inspect the incident site (as in notifiable reporting).

If individuals require hospital treatment, or you need the assistance of another emergency service, they should be contacted immediately as part of the initial incident response. (Equally, assessment of an individual may conclude that medical treatment is required after a short period of time has elapsed.) Notifiable reporting should also be carried out if the incident is identified as being a notifiable incident.

A non-disturbance notice may also be given by the regulator; this is legally binding and will require you to prevent any persons from entering the incident site for a designated period of time. This ensures the site remains undisturbed for regulatory inspection and incident investigation.

Once the situation has been assessed and steps are taken to make this safe, a record must be made so the incident is documented and can be investigated as part of the incident response procedures.

Incident investigation

Investigation procedures will start by looking at the evidence and gathering any further information that is relevant to the investigation. For example, you may need to gain eyewitness accounts, photographs of the site or specific measurements.

An official investigation will be in response to a notifiable incident, and you should assist the inspector as required. Your organisation may also conduct an investigation for its own safety assessment. In this instance, a person or persons will be appointed to conduct this.

Incident procedures will then include:

* Examining and analysing the evidence and information
* Inspecting the site and related work areas
* Looking at the possible scenarios that led to or contributed to this.

It may include conducting simulations to gain a clearer understanding of what occurred. After an assessment of the incident has been made, conclusions will be reached to determine the safety issues. Corresponding actions to prevent a reoccurrence should then be identified and implemented; this will usually take place in the form of a hazard and risk assessment.

Near misses

When a near miss occurs, it is good practice for your organisation to investigate it to find the root cause of its occurrence. Although a near miss, if not assessed and remedied, this could happen again with more serious consequences.

Again, the evidence and information relating to this should be examined, along with the reason why this was a near miss as opposed to an actual incident. You should also assess the implications of this as a real incident; this will highlight how an actual event could impact and cause harm.

As with all investigations, conclusions should be made to inform actions that prevent this from happening again.

### Fotolia_2204087_XS.jpgActivity 5A

## 5.2 – Use aggregate information and data from work area records to meet organisational recordkeeping requirements

By the end of this chapter, the learner should be able to:

* Identify and select aggregate information and data from work records
* Include relevant aggregate information and data in organisational recordkeeping.

### Using aggregate information

WHS recordkeeping is factual and will need to show the specific measures and details that relate to your WHS activities (your aggregate information). In a number of instances, your organisation will record various pieces of WHS information, which you can access from records to gain the details you need for your own recordkeeping requirements.

For example, information and data can be found in:

* WHS audits and reports
* Hazard and risk registers
* Safety data sheets (SDSs)
* Electrical and plant testing records
* WHS training records
* Safety checklists
* First-aid records.

There may be information about your team members that you need to make a record of, such as a team member who has experienced an injury at work, or a team member that is also a first aider and has received different types of training. You may also need to compile records about risk management in your work area or report about safety in the department. Therefore, your organisation’s WHS records can help you to complete your own recordkeeping requirements.

Aggregate information can also help you to perform WHS tasks for the work area; for example, it can help you to identify hazards and to look for areas that need improving. As a further example, if you want to identify a schedule for performing WHS risk assessments in your work area, you could gather risk assessment data from other work departments to determine how managers are doing this.

### Recordkeeping

Records need to be in the format that your organisation has chosen; this may be electronic, paper-based, or a combination of both. Each type of record will have a structure that is suitable for recording the information that is needed; for example, forms will request information, a checklist will confirm actions, and a report will provide paragraphs with specific details.

You will need to follow organisational policies and procedures for recordkeeping; this will include the frequency of making records, style, content, format and storage requirements. Protocols may include limiting access to some types of records through the use of secure passwords, and data security to prevent disclosure of any personal or sensitive information.

Information must be kept for a period of time; this can vary depending on the type of record and state/territory recordkeeping laws. Records are typically required to be kept for a minimum of five years, but this time requirement can be longer.

Vocabulary

Vocabulary and grammar must be checked for accuracy and meaning. Recording factual information, such as dates, times and certification details, will be straightforward and logical, but it should be done according to any style guidelines to ensure consistency.

Reports, such as WHS risk assessments, which contain descriptions, thoughts and opinions, will need to be carefully structured to prevent bias or unintended meaning. You should be objective in your recordkeeping.

Language should be clear, legible and concise. You should think twice when using acronyms or abbreviations in case your intended audience is unfamiliar with these or they confuse them with something else. It is better to write words in full if this is not known or provide an explanation of this in your record.

### Fotolia_2204087_XS.jpgActivity 5B

## Summative Assessments

At the end of your Learner Workbook, you will find the Summative Assessments.

This includes:

* Skills Activity
* Knowledge Activity
* Performance Activity.

This holistically assesses your understanding and application of the skills, knowledge and performance requirements for this unit. Once this is completed, you will have finished this unit and be ready to move onto the next one – well done!

# Appendices

## Work health and safety laws in the states and territories

Australian Capital Territory

[Work Health and Safety Act 2011 (ACT)](http://www.legislation.act.gov.au/a/2011-35/default.asp)

[Work Health and Safety Regulation 2011 (ACT)](http://www.legislation.act.gov.au/sl/2011-36/default.asp)

New South Wales

Work Health and Safety Act 2011 (NSW)

Work Health and Safety Regulation 2017 (NSW)

Northern Territory

[Work Health and Safety (National Uniform Legislation) Act 2011 (NT)](http://notes.nt.gov.au/dcm/legislat/Acts.nsf/5504d78eee675d6e6925649e001bb652/b7dfab88ae823862692579360003dbe1?OpenDocument)

Work Health and Safety (National Uniform Legislation) Regulations (NT)

Queensland

Work Health and Safety Act 2011 (Qld)

[Work Health and Safety Regulation 2011 (Qld)](https://www.worksafe.qld.gov.au/laws-and-compliance/workplace-health-and-safety-laws/laws-and-legislation/work-health-and-safety-act-2011)

South Australia

Work Health and Safety Act 2012 (SA)

Work Health and Safety Regulations 2012 (SA)

Tasmania

[Work Health and Safety Act 2012 (Tas)](http://www.thelaw.tas.gov.au/tocview/index.w3p%3bcond=%3bdoc_id=1++2012+AT%40EN+SESSIONAL%3bhiston=%3bprompt=%3brec=%3bterm=)

Work Health and Safety Regulations 2012 (Tas)

Victoria

Occupational Health and Safety Act 2004 (Vic)

Occupational Health and Safety Regulations 2017 (Vic)

Western Australia

[Occupational Safety and Health Act 1984 (WA)](http://www.commerce.wa.gov.au/worksafe/occupational-safety-and-health-act-1984)

[Occupational Safety and Health Regulations 1996 (WA)](http://www.commerce.wa.gov.au/worksafe/occupational-safety-and-health-regulations-1996)

Source ‘Work health and safety’ from the Australian Government, retrieved from [Work health and safety | business.gov.au](https://www.business.gov.au/Risk-management/Health-and-safety/Work-health-and-safety).

## References

***These suggested references are for further reading and do not necessarily represent the contents of this unit.***

Websites

**‘Model Code of Practice: How to manage work health and safety risks’ from Safe Work Australia:** <https://www.safeworkaustralia.gov.au/doc/model-code-practice-how-manage-work-health-and-safety-risks>

**‘Incident notification fact sheet’ from Safe Work Australia:** [Incident notification fact sheet | Safe Work Australia](https://www.safeworkaustralia.gov.au/doc/incident-notification-fact-sheet)

**‘Work health and safety’ from the Australian Government:** [Work health and safety | business.gov.au](https://www.business.gov.au/Risk-management/Health-and-safety/Work-health-and-safety)

*All references accessed on and correct as of 06.01.2021, unless otherwise stated.*