

BSBWHS401

Implement & monitor WHS policies, procedures & programs to meet legislative requirements

Release 1

Learner guide

BSBWHS401

**Implement and monitor
WHS policies, procedures
and programs to meet
legislative requirements**

Release 1

Learner guide

Aspire Version 1.1

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BSBWHS401 Implement and monitor WHS policies, procedures and programs to meet legislative requirements Release 1

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Contents

Before you begin	vii
Topic 1: Provide WHS information to the work team	1
1A Explain WHS legislation and codes of practice to the work team	2
1B Provide accessible organisational WHS information	7
1C Inform the work team of identified hazards and outcomes of risk assessment	12
Summary	14
Learning checkpoint 1: Provide WHS information to the work team	15
Topic 2: Manage participation in WHS issues	19
2A Explain the importance of consultation	20
2B Apply consultation procedures to engage the work team in hazard management	22
2C Manage issues raised through the consultation process	27
2D Record and communicate consultation outcomes to the work team	30
Summary	33
Learning checkpoint 2: Manage participation in WHS issues	34
Topic 3: Implement and monitor WHS training	39
3A Identify WHS training needs	40
3B Meet WHS training needs	43
3C Provide WHS learning opportunities and assistance	49
3D Identify and report on anticipated training costs	54
Summary	57
Learning checkpoint 3: Implement and monitor WHS training	58
Topic 4: Implement and monitor procedures for hazard identification and risk control	63
4A Identify and report on hazards	64
4B Promptly action hazard reports	70
4C Implement procedures to control risks	73
4D Identify and report inadequacies in risk controls	78
4E Monitor outcomes of reports	81
Summary	84
Learning checkpoint 4: Implement and monitor procedures for hazard identification and risk control	85

Topic 5: Implement and monitor WHS recording procedures	89
5A Accurately complete and maintain WHS records	90
5B Use WHS records to identify hazards and risk controls	95
Summary	98
Learning checkpoint 5: Implement and monitor WHS recording procedures	99

Before you begin

This learner guide is based on the unit of competency *BSBWHS401 Implement and monitor WHS policies, procedures and programs to meet legislative requirements*, Release 1. Your trainer or training organisation must give you information about this unit of competency as part of your training program. You can access the unit of competency and assessment requirements at: www.training.gov.au.

How to work through this learner guide

This learner guide contains a number of features that will assist you in your learning. Your trainer will advise which parts of the learner guide you need to read, and which practice tasks and learning checkpoints you need to complete. The features of this learner guide are detailed in the following table.

Feature of the learner guide	How you can use each feature
Learning content	Read each topic in this learner guide. If you come across content that is confusing, make a note and discuss it with your trainer. Your trainer is in the best position to offer assistance. It is very important that you take on some of the responsibility for the learning you will undertake.
Examples and case studies	Examples of completed documents that may be used in a workplace are included in this learner guide. You can use these examples as models to help you complete practice tasks and learning checkpoints. Case studies highlight learning points and provide realistic examples of workplace situations.
Practice tasks	Practice tasks give you the opportunity to put your skills and knowledge into action. Your trainer will tell you which practice tasks to complete.
Video clips	Where QR codes appear, learners can use smartphones and other devices to access video clips relating to the content. For information about how to download a QR reader app or accessing video on your device, please visit our website: www.aspirelr.com.au/help
Summary	Key learning points are provided at the end of each topic.
Learning checkpoints	There is a learning checkpoint at the end of each topic. Your trainer will tell you which learning checkpoints to complete. These checkpoints give you an opportunity to check your progress and apply the skills and knowledge you have learnt.



Foundation skills

As you complete learning using this guide, you will be developing the foundation skills relevant for this unit. Foundation skills are the language, literacy and numeracy (LLN) skills and the employability skills required for participation in modern workplaces and contemporary life.

The following table outlines specific foundation skills noted for your learning in this learner guide.

Foundation skill area	Foundation skill description
Reading	<ul style="list-style-type: none"> Interprets and analyses complex WHS legislative and organisational texts
Writing	<ul style="list-style-type: none"> Documents WHS legislative and organisational information 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	<ul style="list-style-type: none"> Provides WHS legislative and organisational information and advice using structure and language suitable for audience
Numeracy	<ul style="list-style-type: none"> Extracts, interprets and comprehends mathematical information in relation to training costs and risk management data
Navigate the world of work	<ul style="list-style-type: none"> Takes responsibility for adherence to legal and regulatory responsibilities and organisational policies and procedures in relation to WHS Keeps up to date on changes to WHS legislation or regulations and organisational policies and procedures
Interact with others	<ul style="list-style-type: none"> Selects and uses appropriate conventions and protocols to facilitate consultation or 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 and team outcomes
Get the work done	<ul style="list-style-type: none"> Uses combination of formal, logical planning and intuitive understanding of context to identify relevant information and risks, and identify and evaluate alternative strategies Uses formal decision-making processes, setting or clarifying goals, gathering information and identifying and evaluating choices against a set of criteria Recognises and takes responsibility for reporting WHS risk control inadequacies Uses formal and informal processes to monitor implementations of WHS solutions and reflect on outcomes

What do you already know?

Use the following table to identify what you may already know. This may assist you to work out what to focus on in your learning.

Topic	Key outcome	Rate your confidence in each section
Topic 1 Provide WHS information to the work team	1A Explain WHS legislation and codes of practice to the work team	<input type="checkbox"/> Confident <input type="checkbox"/> Basic understanding <input type="checkbox"/> Not confident
	1B Provide accessible organisational WHS information	<input type="checkbox"/> Confident <input type="checkbox"/> Basic understanding <input type="checkbox"/> Not confident
	1C Inform the work team of identified hazards and outcomes of risk assessment	<input type="checkbox"/> Confident <input type="checkbox"/> Basic understanding <input type="checkbox"/> Not confident
Topic 2 Manage participation in WHS issues	2A Explain the importance of consultation	<input type="checkbox"/> Confident <input type="checkbox"/> Basic understanding <input type="checkbox"/> Not confident
	2B Apply consultation procedures to engage the work team in hazard management	<input type="checkbox"/> Confident <input type="checkbox"/> Basic understanding <input type="checkbox"/> Not confident
	2C Manage issues raised through the consultation process	<input type="checkbox"/> Confident <input type="checkbox"/> Basic understanding <input type="checkbox"/> Not confident
	2D Record and communicate consultation outcomes to the work team	<input type="checkbox"/> Confident <input type="checkbox"/> Basic understanding <input type="checkbox"/> Not confident
Topic 3 Implement and monitor WHS training	3A Identify WHS training needs	<input type="checkbox"/> Confident <input type="checkbox"/> Basic understanding <input type="checkbox"/> Not confident
	3B Meet WHS training needs	<input type="checkbox"/> Confident <input type="checkbox"/> Basic understanding <input type="checkbox"/> Not confident
	3C Provide WHS learning opportunities and assistance	<input type="checkbox"/> Confident <input type="checkbox"/> Basic understanding <input type="checkbox"/> Not confident
	3D Identify and report on anticipated training costs	<input type="checkbox"/> Confident <input type="checkbox"/> Basic understanding <input type="checkbox"/> Not confident

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BSBWHS401

Implement and monitor WHS policies, procedures and programs to meet legislative requirements

... continued

Topic	Key outcome	Rate your confidence in each section
Topic 4 Implement and monitor procedures for hazard identification and risk control	4A Identify and report on hazards	<input type="checkbox"/> Confident <input type="checkbox"/> Basic understanding <input type="checkbox"/> Not confident
	4B Promptly action hazard reports	<input type="checkbox"/> Confident <input type="checkbox"/> Basic understanding <input type="checkbox"/> Not confident
	4C Implement procedures to control risks	<input type="checkbox"/> Confident <input type="checkbox"/> Basic understanding <input type="checkbox"/> Not confident
	4D Identify and report inadequacies in risk controls	<input type="checkbox"/> Confident <input type="checkbox"/> Basic understanding <input type="checkbox"/> Not confident
	4E Monitor outcomes of reports	<input type="checkbox"/> Confident <input type="checkbox"/> Basic understanding <input type="checkbox"/> Not confident
Topic 5 Implement and monitor WHS recording procedures	5A Accurately complete and maintain WHS records	<input type="checkbox"/> Confident <input type="checkbox"/> Basic understanding <input type="checkbox"/> Not confident
	5B Use WHS records to identify hazards and risk controls	<input type="checkbox"/> Confident <input type="checkbox"/> Basic understanding <input type="checkbox"/> Not confident

Topic 1

Provide WHS information to the work team

Work health and safety (WHS) is a critical part of your role as a supervisor or manager within your organisation. Your role is to support your team and the organisation in implementing and monitoring WHS policies and practices. This is to ensure they can:

- meet the legislative requirements of WHS Acts, regulations and codes of practice
- provide current and correct information to workers about WHS
- implement and maintain participative arrangements in the workplace
- provide appropriate training for team members
- enable people to identify risks and hazards in the workplace and take the necessary action to manage these
- maintain WHS records.

The first key responsibility is to ensure all workers have relevant and current WHS information they can easily understand.

In this topic you will learn how to:

- 1A Explain WHS legislation and codes of practice to the work team
- 1B Provide accessible organisational WHS information
- 1C Inform the work team of identified hazards and outcomes of risk assessment

1A

Explain WHS legislation and codes of practice to the work team

All workers must be aware of WHS legislation and codes of practice relevant to their role in the workplace. One of your responsibilities as a supervisor is to explain the meaning of the legislation and codes. All communication and explanations must be appropriate for all team members, so they understand and are able to apply the legislation to their work role. While aspects of WHS legislation may vary between states and territories, there are common legislative requirements and obligations under the duty-of-care principle. Everyone in the workplace has the responsibility of duty of care.

The following information outlines the duty-of-care responsibility of each role in the workplace.

Persons conducting a business or undertaking (PCBU)

- Ensure the health and safety of all workers, so far as is reasonably practicable.
- Ensure the health and safety of others is not put at risk when carrying out their work duties.

Officers or decision-makers

- Ensure the PCBU complies with their duty.
- Manage risks in the workplace.

Workers

- Ensure their own health and safety.
- Ensure the health and safety by others who may be affected by their actions.
- Comply with the PCBU's WHS policies and procedures.

The role of supervisor, team leader or manager

Your role as a supervisor, team leader or frontline manager is fundamental in supporting the WHS activities and ensuring your team works safely with appropriate strategies to manage any risks or hazards.

Skills you need

- Analyse and solve problems arising from identification of risks and hazards
- Coach and guide team members
- Interpret and apply WHS policy, procedures and programs to your work team

Knowledge you need

- Relevant WHS Acts, regulations and codes of practice
- Organisational policy and procedures
- How to use participative arrangements effectively
- Overall WHS responsibilities, duties and obligations of workers

Communication

It is critical that you communicate effectively with your work team to explain the relevant provisions of WHS Acts, regulations and codes of practice. This information is required to ensure work is conducted safely and is compliant with all relevant requirements. This information may be communicated to the team during regular team meetings or health and safety meetings, or it may be displayed in the workplace.



When you communicate with the team, ensure you adapt your communication to reflect the team's diversity and needs. English may not be the first language of all workers and it is vital that any signage or communication methods are adapted appropriately. Language, literacy, learning challenges and disability are all considerations you must address when designing communications, signage and guidelines for the team. You must ensure the information is presented in an appropriate manner and is easy for all to understand.

WHS legislation and regulators

WHS legislation was updated nationally in January 2012 with the *Work Health and Safety Act 2011* (Cth) coming into effect. This replaced the *Occupational Health and Safety Act 1991* (Cth) and individual state/territory health and safety Acts. At this time, all states and territories have adopted the new Act except Western Australia and Victoria.

All WHS legislation requires employers to provide a safe workplace, adequate training and supervision, and to control workplace hazards and risks regardless of which legislation is being enforced in the state or territory.

For more information about the Commonwealth authority, Comcare (www.comcare.gov.au) implements the Australian Government's policies in federal workplaces – *Work Health and Safety Act 2011* (Cth). Safe Work Australia (www.safeworkaustralia.gov.au) is the national body for WHS.

Region	Health and safety legislation	WHS regulator
Australian Capital Territory	<i>Work Health and Safety Act 2011</i>	WorkSafe ACT www.worksafe.act.gov.au
New South Wales	<i>Work Health and Safety Act 2011</i>	WorkCover NSW www.workcover.nsw.gov.au
Northern Territory	<i>Work Health and Safety Act 2011</i>	NT WorkSafe www.worksafe.nt.gov.au
Queensland	<i>Work Health and Safety Act 2011</i>	WorkCover Queensland www.worksafe.qld.gov.au
South Australia	<i>Work Health and Safety Act 2012</i>	SafeWork SA www.safework.sa.gov.au
Tasmania	<i>Work Health and Safety Act 2012</i>	WorkSafe Tasmania www.worksafe.tas.gov.au
Victoria	<i>Occupational Health and Safety Act 2004 (Vic)</i>	WorkSafe Victoria www.worksafe.vic.gov.au
Western Australia	<i>Occupational Safety and Health Act 1984 (WA)</i>	WorkSafe WA www.worksafe.wa.gov.au

WHS legislation: the WHS Act

The WHS Act in your state or territory describes the legal requirements for ensuring workplaces are safe and healthy.

The WHS Act describes the legal requirements of the following areas:

- Managing risks to health and safety, including risk assessment and control
- Protecting people at work from injury and illness, including psychological injury
- Protecting the health and safety of the public in workplaces
- Consulting workers and encouraging participation in maintaining WHS, including the establishment of health and safety committees
- Providing rehabilitation and maximum recovery for injured workers
- Training in safe operating procedures
- Procedures for workplace hazards
- Identifying hazards
- Emergency and evacuation procedures
- Requirements for maintenance and confidentiality of records of occupational injury and disease

WHS regulations

Regulations support WHS legislation. There are specific requirements, duties and procedures that apply to specific areas of work. Some regulations apply to all workplaces, while others apply to specific industries.

Regulations cover obligations to:

- identify hazards
- perform risk assessment for some risks
- specify controls and/or processes.

For a full listing of regulations for your work area, refer to the national, state and territory bodies responsible for health and safety, listed in the 'WHS legislation and regulators' section.



Codes of practice

Codes of practice are practical guides used to support and demonstrate compliance. They address particular issues and do not cover all of the hazards or risks that may occur. They are developed through consultation between industry representatives, employers, workers, government agencies and professional associations. It is important to understand that being compliant with the code does not necessarily mean compliance with the Act or regulations.

Information and examples of approved codes of practice in the states and territories can be found on the websites of the work health and safety regulators.

Following is a list of information that is provided in codes of practice and how it relates to the workplace.

Information provided

- Compliance information
- Practical advice to organisations, employers and workers in specific industries to help them meet their obligations
- Practical guidance for people who have WHS duties
- Explanations of how to apply the standards required under the Act
- Explanations of effective ways to identify and manage risks

How it relates to the workplace

- Control of workplace hazardous substances
- Workplace amenities
- Workplace consultation
- Construction induction training
- Falls in construction

Practice task 1

1. Using the internet, locate the WHS Acts, regulations and codes of practice that apply to your organisation and your work area.

2. Describe what relevance each of these WHS Acts, regulations and codes of practice has to the work area you are involved in.

1B

Provide accessible organisational WHS information

Organisations are obliged to inform and update workers on WHS requirements. The type of WHS information that must be provided to workers depends on many factors, including the nature of the organisation's industry, the individual nature of the work, geographic location, the buildings and equipment and the diversity of workers. Because of these variables, organisations usually devise WHS policies, procedures and practice manuals specific to their needs. It is the frontline manager or supervisor's responsibility to provide and explain the contents of these WHS manuals to workers.



Organisational WHS policies and procedures

Organisations develop policies and procedures to provide direction and guidelines to their workers about their responsibilities and requirements for WHS compliance. These policies and procedures should be based on the legislation, regulations and codes of practice that apply to the workplace and industry the organisation is operating within. WHS procedures should include detailed information about the actions or steps to be followed to ensure compliance with WHS requirements in the workplace.

WHS policies and procedures should reflect current legislation, regulations and codes of practice. It is a key responsibility of the organisation to ensure policies and procedures are up to date and accessible for all workers in the workplace.

WHS policies and procedures may address:

- handling hazardous chemicals
- acquisition, use, storage and disposal of chemicals
- alcohol and drug intoxication
- consultative arrangements in the workplace
- emergency and evacuation procedures
- family-friendly workplace arrangements
- first aid and medical treatment
- hazard identification, reporting and management
- risk assessment and control processes
- incident investigation
- work-life balance
- plant/equipment use and maintenance
- purchasing guidelines
- safe operating procedures
- personal protective equipment (PPE) requirements
- WHS audits and inspections
- WHS arrangements for contractors and members of the public
- site access and egress.

Emergency procedures

Organisations must ensure there are emergency procedures stating the appropriate responses to emergency situations. These procedures must provide direction and guidance to workers in the event of an emergency and should be covered in the induction process.

Emergency procedures may include information on the following:

- Hazardous substances
- Firefighting
- Evacuation
- Investigation and reporting

Hazardous substances

Safety data sheets (SDSs) provide information on the physical properties of hazardous substances, handling procedures, potential hazards to people and the environment, emergency procedures and disposal procedures. It is a WHS regulation for businesses handling hazardous substances to prepare or acquire an SDS for each substance.

HAZCHEM warning panels also provide information about responses to emergency situations.

The purpose of HAZCHEM codes is to advise:

- the type of substance required to combat the situation if the dangerous substance is spilt, escaped or involved in a fire
- the possible hazard posed to people in the area
- what personal protective equipment (PPE) is required by those people combating the incident.

Firefighting

The workplace and all vehicles must be equipped with the appropriate firefighting equipment to respond in an emergency situation. Fire-protection equipment must be installed and tested regularly, and maintenance performed to ensure the equipment is in good working order at all times.



Evacuation

Fires, explosions, hazardous chemical spills, bomb threats or natural disasters may require evacuation. It is vital that all workers are informed of and understand the appropriate evacuation procedures that apply to their workplace. Evacuation may be made up of several steps and all workers should be drilled in the appropriate response.



Investigation and reporting

Confirm the correct procedures for reporting. In the case of an emergency, you should contact emergency personnel and then your supervisor. If the incident is not an emergency, such as when PPE needs to be updated or repaired, report this to your supervisor. You may also need to make a written report.

Ensure you follow correct reporting procedures, detail information accurately, and sign and date all reports made. Reports can be lawful documents and may be used in court, so make sure you write clearly and accurately. Compile reports promptly, as prompt reporting may be the difference between an emergency and a safe outcome.



It is important to report a near miss, which is an incident that did not result in illness, injury or damage, but had the chance of doing so. Reporting a near miss allows thorough investigations to be conducted and plans implemented to reduce the risk of future incidents occurring.

Ensure policy and procedures manuals are readily accessible

Most workplaces organise their WHS policies and procedures in a manual to make them easily accessible to workers. It is the duty of team leaders, managers and supervisors to be familiar with these policies and procedures and to ensure all workers can access the relevant WHS material.

Policies and procedures must be available in a format appropriate to the workers. Electronic copies may be appropriate for workers who have computer access, but hard-copy formats may be needed for workers who do not. As a supervisor, you must ensure all workers have the appropriate information available to them.

WHS legislation documents are detailed and extensive. You may choose to reproduce a section regarding a particular procedure and display it on a noticeboard, email the section as a monthly tip or place copies of the information in a file for circulation.

Disseminate WHS policies and procedures

In areas where hard-copy information is appropriate, you must ensure the WHS manual is in a prominent, accessible location and all workers know where it is located. If the information is in electronic format, ensure all workers have access and know where the files are located. When there are WHS updates, all relevant workers must be informed.

WHS information can be communicated through a number of methods.

Meetings

WHS information may be addressed at staff or safety meetings and should be relevant to your audience. Make sure you have the time and ability to answer questions or invite a guest speaker with expertise in a particular area to speak in your workplace.

Always be aware of workers who are from culturally and linguistically diverse (CALD) backgrounds or speak English as a second language (ESL). You must ensure all workers understand the WHS procedures that are relevant to their workplace and tasks.

Demonstrations

A demonstration is an effective method of showing workers the appropriate method of completing a task. Supporting handouts reinforce the message of the demonstration. Engage your audience and encourage them to ask questions. Make sure they understand the WHS issue and what their responsibilities are.

Newsletters

Company newsletters may be used to promote WHS issues. However, you must be certain the newsletter reaches and is read by all workers.

Visual methods

Posters may be an effective way to depict a specific WHS procedure. The use of symbols or icons can help relay a message, but only if they are clear, concise and readily recognisable. Posters and signage are useful for reminding workers of the risks and hazards of the work area.

Induction sessions

New employees must be given WHS policy and procedure information that is relevant to their workplace and duties. This should be part of the induction process. The resources provided must be in a format that all workers can understand.

Practice task 2

Use this table to list the emergency procedures that apply in your workplace. Include which WHS policy and procedure applies to the procedure. The first line provides an example.

Emergency procedure	Applicable WHS policy and procedure

1C

Inform the work team of identified hazards and outcomes of risk assessment

Information should be regularly provided to work teams about the hazards that have been identified and the outcomes of the risk assessments that have been performed. Hazard identification is an important aspect of WHS, as it provides the potential to manage risks within the workplace prior to an incident or injury occurring.

Below is a sample list of activities that may initiate hazard identification.

Activities that may initiate hazard identification

- Examining Commonwealth and state or territory WHS Acts, regulations and codes of practice
- Checking equipment before and during work
- Consulting team members through daily informal worker consultation and regular formal meetings
- Housekeeping
- Reviewing health and safety records, including hazard reports, hazardous substances and dangerous goods registers, and injury records
- Undertaking WHS audits and review of audit reports
- Undertaking workplace inspections

Inform the work team

It may be appropriate to provide coaching or mentoring to ensure all workers understand the WHS information and are able to apply it to their roles. Coaching and mentoring occur directly with an individual and are methods to ensure individuals develop specific skills or capabilities with the assistance of a more experienced person. Coaching and mentoring should create an open and supportive environment for the individual to practise and improve over the short or long-term.



Meetings

Information about hazards and the results of risk assessments may be addressed at meetings as a high priority item on the regular agenda. You may also choose to hold specific WHS information sessions on a regular basis.

Ensure you have relevant and complete information to inform the work team, and the ability to deliver this information using methods that promote understanding and are relevant to the group you are dealing with.

You may choose to present information in the form of handouts or notes, as these can provide more detailed information and instructions for the group. You may invite a WHS expert to speak with the group to ensure workers are fully informed of hazards and their implications in the workplace. Provide information to the group if workers require follow-up information. Always make sure your work team feels comfortable to ask questions about anything they may need clarification on.

Bulletins and noticeboards

Workplace information bulletins and noticeboards are also effective methods of informing the team on an ongoing basis. These enable you to display information in the workplace or on an internal website (intranet) for the organisation.

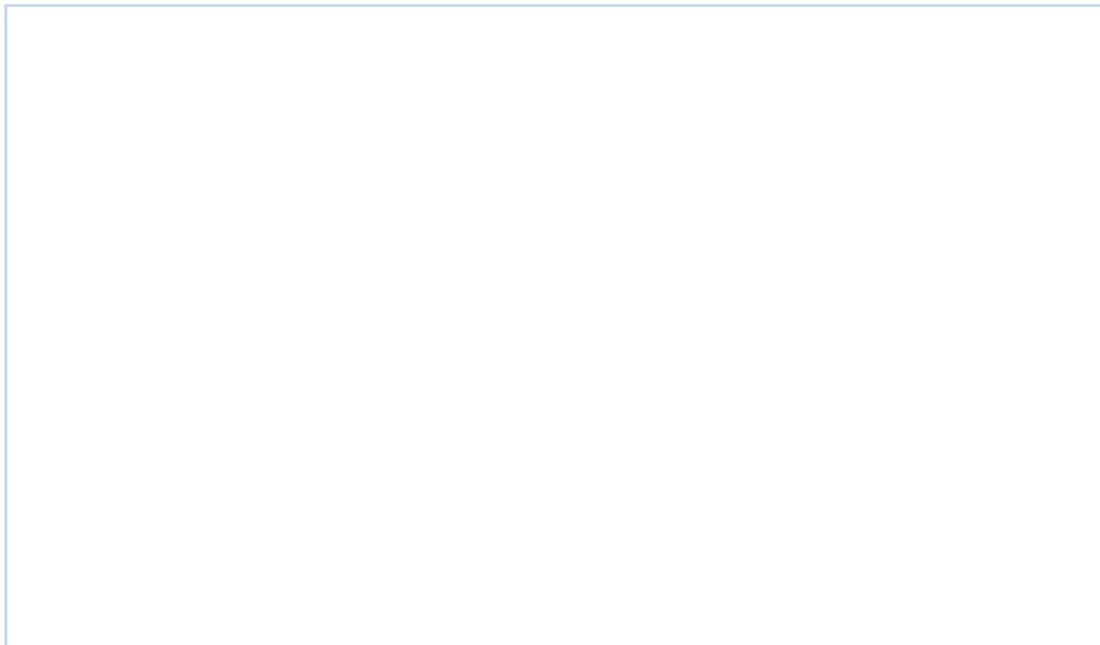
If your organisation employs remote workers, you must ensure they are included in all communications about hazards and risk assessments. This may be achieved via direct communication with individuals or appropriate conferencing and meeting technology.

Informing work teams regularly about hazards and the results of risk assessments is critical to maintaining WHS compliance in the workplace and ensuring the safety and wellbeing of people at work.

Practice task 3

Develop a brief information pack that could be used in the workplace to inform workers about hazards and risk management in the workplace. Before you begin, answer the following questions.

1. What key areas of information would you need to include?



continued ...

... continued

2. Who would need to be informed about hazard management?

3. Why is it important for workers to be informed?

Summary

1. All workers must be aware of WHS legislation and codes of practice relevant to their role in their workplace.
2. There are common legislative requirements and obligations under the duty-of-care principle. Everyone in the workplace has a duty of care.
3. Organisations develop WHS policies, procedures and practices manuals, and it is the frontline manager or supervisor's responsibility to provide and explain the contents of these WHS manuals to workers.
4. Information needs to be regularly provided to work teams about the hazards that have been identified and the outcomes of the risk assessments that have been performed in the workplace.
5. Communication about WHS must be structured in a way that ensures all people in the workplace can easily understand the information being communicated, including people who speak English as a second language or have a disability, such as a vision or hearing impairment.

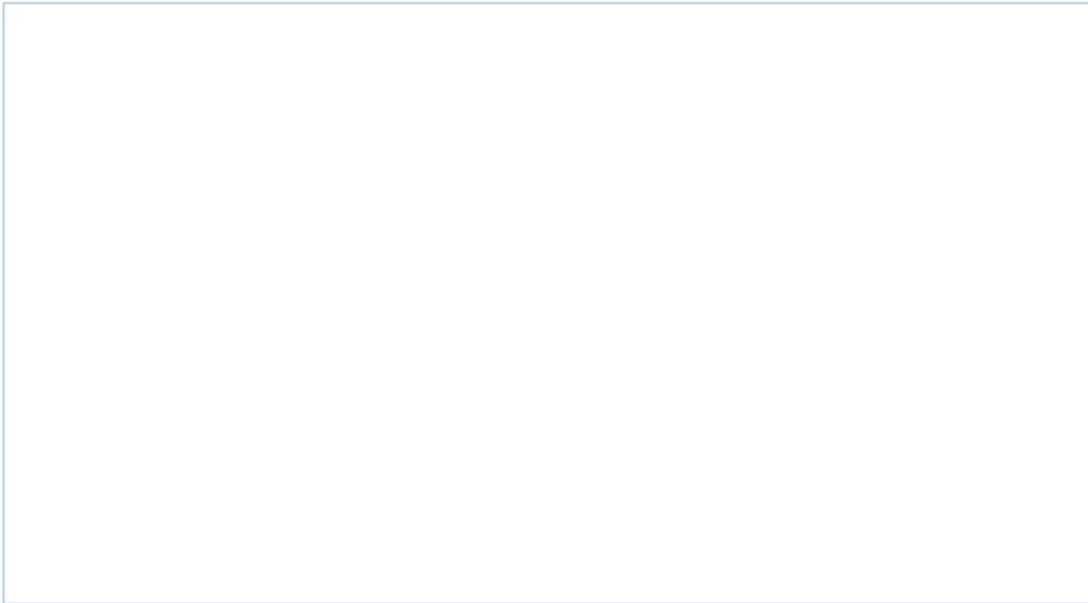
Learning checkpoint 1 Provide WHS information to the work team

This learning checkpoint allows you to review your skills and knowledge in providing WHS information to the work team.

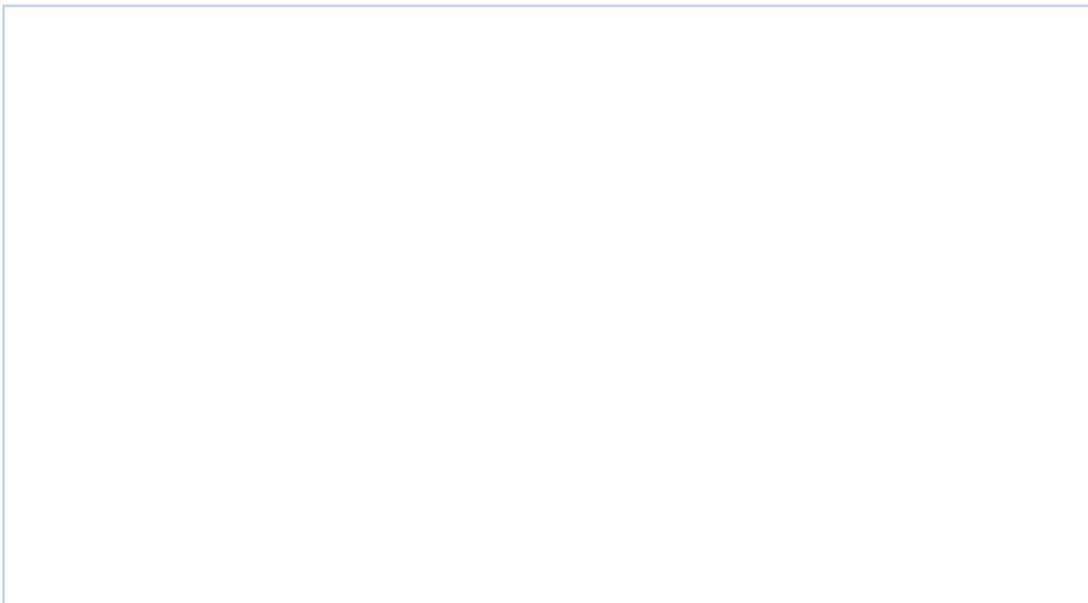
Part A

1. Identify and explain the WHS Act, regulations and codes of practice relevant to your organisation and industry. If you are not currently employed, research an organisation such as your local council.

2. How is this information communicated and explained to the work teams?



3. How could this process be improved to ensure all workers are continually aware of this information? What additional forms of communication could be used?



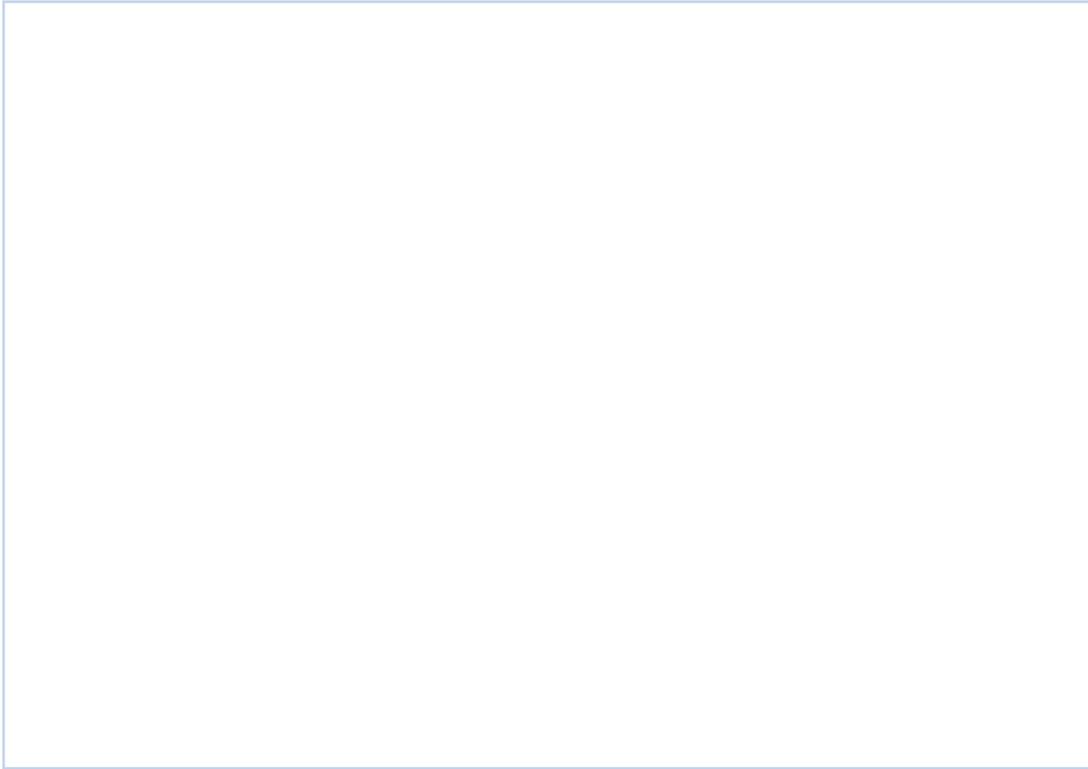
Part B

1. Make a list of the WHS policies and procedures in place within your organisation or another organisation you are familiar with.

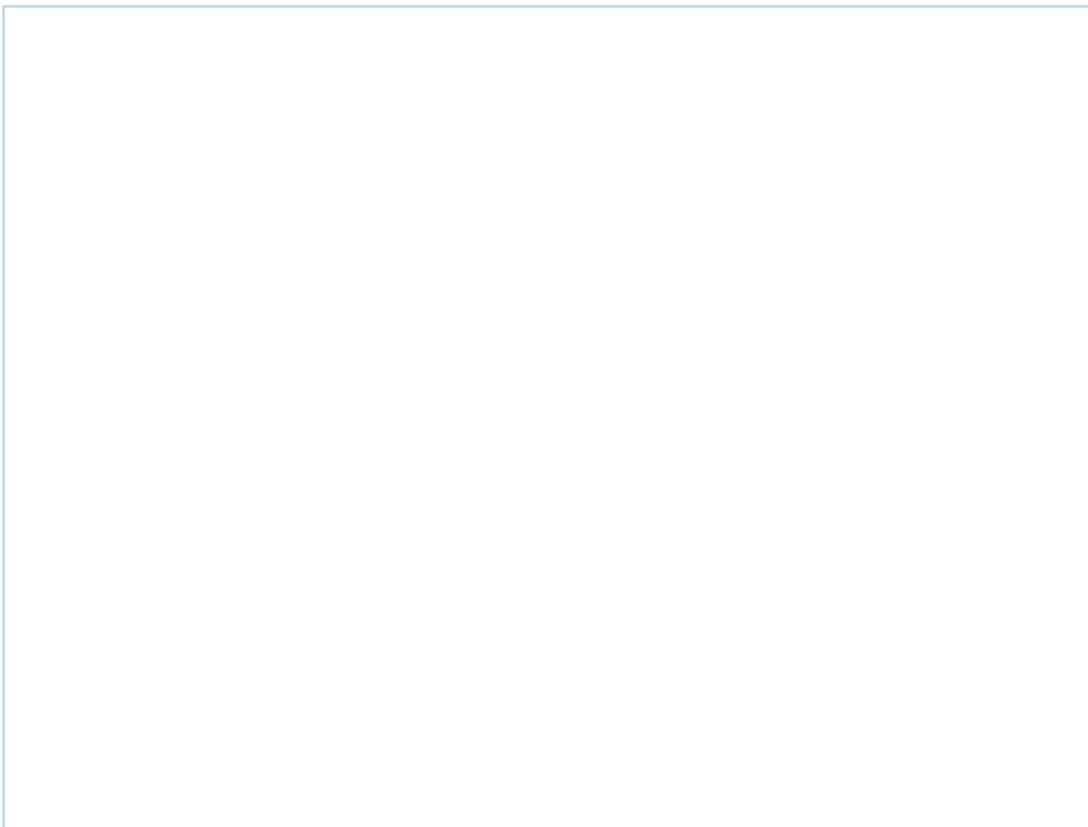
2. How are these policies and procedures documented?

3. Are the current WHS policies and procedures appropriate for the needs of the organisation? Why or why not?

4. How are workers informed about WHS policies and procedures? Are the methods of communication effective? What additional methods could be used?



5. How are workers informed about workplace hazards and the results of risk assessments? Is this process effective? Identify ways the process could be improved.



Topic 2

Manage participation in WHS issues

Your role in implementing and monitoring WHS policies and programs requires you to manage your team's participation in WHS. The team members hold valuable information about their roles and the impact of WHS on their activities. By encouraging participation and contribution to workplace safety, a two-way process of communication is created and benefits the whole organisation.

In this topic you will learn how to:

- 2A Explain the importance of consultation
- 2B Apply consultation procedures to engage the work team in hazard management
- 2C Manage issues raised through the consultation process
- 2D Record and communicate consultation outcomes to the work team

2A

Explain the importance of consultation

WHS laws require that employers consult with workers regarding health and safety issues at work. They are also required to allow workers to contribute to WHS decisions in their organisation. Decisions made in isolation, without the input of all concerned, are often inadequate because they do not meet the needs of every individual concerned.

Importance of consultation

In the context of WHS, consultation is more than the exchange of information. It is about including all relevant people in discussion, planning and outcomes, and enabling everyone to contribute to the decision-making process within their organisation. Team members are a valuable source of information regarding hazards, risks and WHS improvement opportunities for the work environment.

Explain to the work team the importance and value of their contributions in the consultation process. When the team members see their contributions being acknowledged and addressed, they are more likely to participate actively. Organisational managers, supervisors and workers consulting together on WHS issues create a healthier, safer work culture.

When engaging with people in the workplace, use an open and supportive communication style. Team members must feel confident in expressing their WHS concerns and ideas. This encourages constructive feedback and encourages participation, rather than just identifying problems.

Benefits

By providing an environment of mutual respect, team members feel their concerns are valid and their contributions are appreciated. When a team member is included in the consultation process, they are more likely to see the relevance of decisions regarding their safety and wellbeing.

By working together towards appropriate solutions, an environment of cooperation and trust can be nurtured. When team members are engaged in discussions of WHS, they are more likely to support and adhere to the organisation's policies and procedures.

While organisations are obligated to provide a consultation process, this does not mean outcomes are always acceptable to team members. Disagreement may require a dispute resolution process to be implemented and followed. As a supervisor, you must follow organisational policies and procedures for documenting consultations. Documents must be clear, accurate, objective and precise.

Practice task 4

Read the case study, then answer the questions that follow.

Case study

WPG Ltd is a medium-sized company that manufactures retail storage solutions sold in storage retailers in each capital city. It operates from a factory in a major capital city. Thirty-two people are employed by the company, 22 of these working in the factory manufacturing area. Each month, the factory manager meets with his work team and WHS is the first item on the meeting agenda. The team is expected to identify any new hazards in the factory and suggest ways the workplace could be made safer. The manager takes note of their suggestions, but over the past four months he has never come back to the team with responses about points they have raised. Two months later, the team no longer bothers reporting hazards or making suggestions, as they feel their input is not valued and they are wasting their time.

1. Is the factory manager engaging in effective consultation with his work team? What is he doing right and what could he do better?

2. Is the team at risk because of the approach of their manager? Why or why not?

2B

Apply consultation procedures to engage the work team in hazard management

A hazard is a situation that may cause harm, injury or loss to life, health, property or the environment. This includes hazardous substances, which are those that adversely affect the health of those who have contact with them. Hazardous substances include poisons or substances that cause eye or skin irritation or cancer. A substance is deemed hazardous if it meets the criteria in the Approved Criteria for Classifying Hazardous Substances [NOHSC:1008(2004)]. Dangerous goods must be packaged, stored and transported in accordance with the Australian Dangerous Goods (ADG) Code. Not all hazardous substances are classified as dangerous goods.

When working with dangerous goods and hazardous substances, there is no room for error. Consultation is crucial to the management of hazards.



Consultation procedures

Consultation procedures should be developed and implemented to achieve active participation in WHS within an organisation.

Consultation procedures may relate to the following:

- Health and safety representatives
- Responses to workers' suggestions
- Formal and informal meetings
- Health and safety committees
- Performance management processes
- Other committees
- Legislation

Health and safety representatives

A health and safety representative (HSR) is a worker who is elected by a work group to represent them on WHS issues. It is vital that the HSR consults with management and the work team on any concerns about hazards.



Respond to workers' suggestions

When WHS issues arise, it is essential that management takes all concerns seriously and acts on them quickly. If no committees exist, the frontline manager or team supervisor should take action. It is important that processes are followed to provide feedback and respond to concerns raised by people within the work group. The timing of the response may depend on the complexity of the incident or procedure.

Formal and informal meetings

Formal and informal meetings both form important parts of WHS consultation. Follow-up, response and feedback about identified hazards are critical to the safety of all in the workplace.

A range of formal and informal meetings occur within the workplace on an ongoing basis for the reasons provided here.

Formal meetings

Formal meetings occur regularly to address ongoing requirements or specific areas of focus or activity for the organisation. They usually have an agenda to guide the format and content of the meeting. Minutes may be taken and recorded for future reference and use.

Informal meetings

Informal meetings occur on a more ad hoc or unplanned basis and may be as simple as a discussion or conversation between two individuals in the workplace. They can also be meetings convened due to a situation that arises.

Health and safety committees

A health and safety committee (HSC) is a formal committee established to facilitate communication between management and workers. The HSC must function as a formal committee, with minutes taken at all meetings and recorded for actioning.

Performance management processes

Performance management processes usually involve a number of formal discussions with a worker to assist them to achieve goals and objectives within their job role. These discussions are used to ensure an individual is complying with WHS requirements.

The performance management process should also be used to enable individuals to clarify information, discuss issues, and seek guidance and feedback from their supervisor.

Other committees

Other committees may operate and have input into the organisation's WHS requirements and activities. The range of committees that exist depend on the type of activities the organisation is involved in and the level of risk associated with their activities.

Examples of other committees include:

- planning committees
- purchasing committees
- company boards or senior management committees
- worker committees
- advisory committees.

Legislation

WHS legislation, regulations and codes of practice all provide crucial information regarding hazardous substances and should be consulted regularly. For a full listing of employer obligations in relation to consultation, refer to the WHS regulator's website and legislation for your state or territory.

Depending on the size, type and area of industry, persons conducting a business or undertaking (PCBUs) are required to perform the duties listed below.

PCBU duties

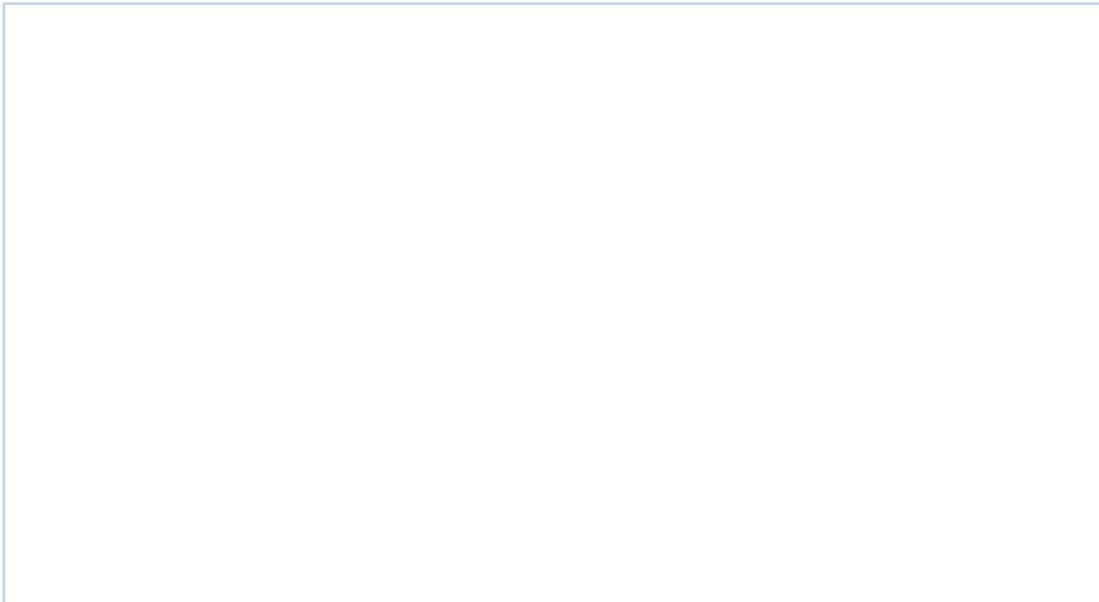
- Establish and maintain consultative arrangements with workers in regard to WHS
- Record the results of consultation and inform workers of these results
- Confirm appropriate representation of work groups on health and safety committees
- Enable the election and operation of HSRs in the workplace
- Share relevant WHS information with workers
- Consult with workers in regard to risk assessment and control
- Consult with workers in regard to changes that may affect WHS

Practice task 5

1. Identify the consultation methods or procedures that are used within your organisation and another organisation you are familiar with. If you are not currently working, use two organisations you are familiar with.



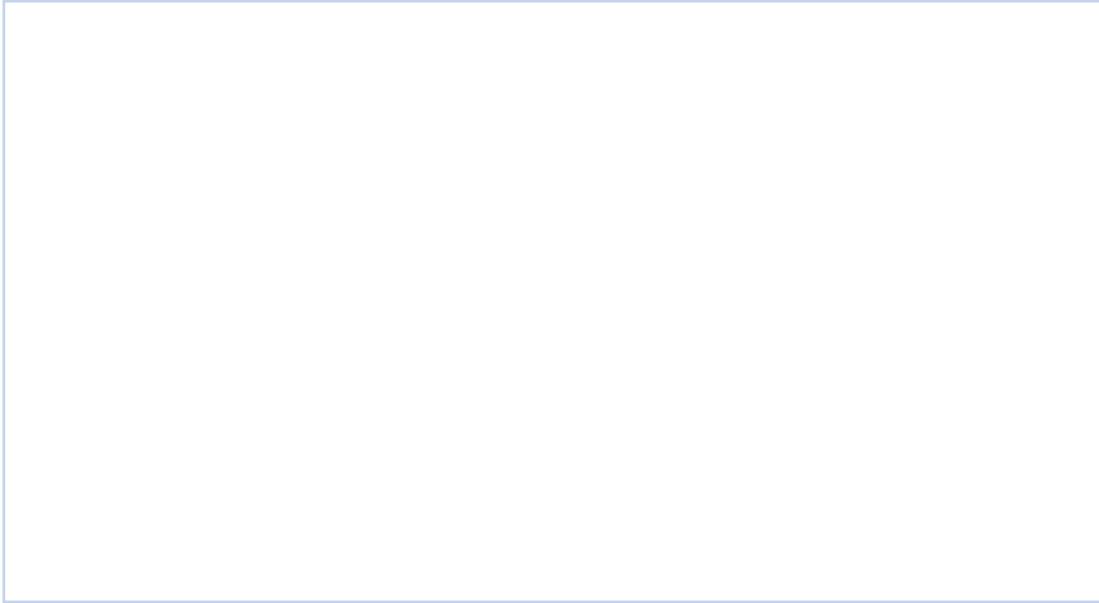
2. For each method or procedure, identify its purpose and the people who are involved.



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3. Compare your answers between each organisation. What are the similarities and what are the differences? Why are there differences between the organisations? In each organisation, do the methods or procedures seem appropriate and relevant? Discuss why or why not.



2C

Manage issues raised through the consultation process

When WHS issues arise, it is essential that all concerns are taken seriously and acted on promptly. If there are no health and safety representatives (HSRs) or health and safety committees (HSCs) available, a frontline manager or team supervisor should take action on issues raised through consultation.

Responsibilities of committees and representatives

HSCs and HSRs resolve and review concerns, have powers and functions to respond to, and investigate issues raised by workers or work teams. They may consult with workers and liaise with management regarding concerns and resolutions. This often occurs in WHS meetings and team and individual meetings.

WHS meetings

A WHS meeting is a forum to discuss concerns. PCBUs must support WHS meetings and attempt to resolve any concerns that are raised. Minutes should be taken to ensure a record is kept of the issues raised and discussed, the recommendations made and who is responsible for actioning them. The information from the minutes may be used to contribute to formal reports, so it is vital they are accurate.

Team and individual meetings

WHS should be discussed regularly at meetings so workers can raise concerns and discuss solutions.

A work team meeting is an appropriate forum to discuss WHS concerns and issues that may arise in the work area. Minutes should be taken to provide a record of the issues raised.

Team members may also raise WHS issues during one-on-one meetings with supervisors. Document the concerns raised and the details of any discussion about the issue.

Issue register

A useful tool for managing issues raised by teams and individuals is an issue register. This is a formal list that shows:

- the issues raised
- a short description of each issue
- the response or action that has been agreed on
- the parties responsible for taking the action or implementing the response.

The register should also show the target date for resolving the issue, so it can be tracked and monitored. As an issue is resolved, its status can be updated in the register to show the action taken to address it.

Example: WHS issue register

The following is an example of an issue register.

WHS issue register	
Date:	4/3/2016
Issue:	PPE
Description:	Hi-vis jackets are fraying and need replacing
Target resolution date:	11/3/2016
Agreed action:	Review jackets and order replacements
Responsibility:	Team leader/HSR
Status:	Open

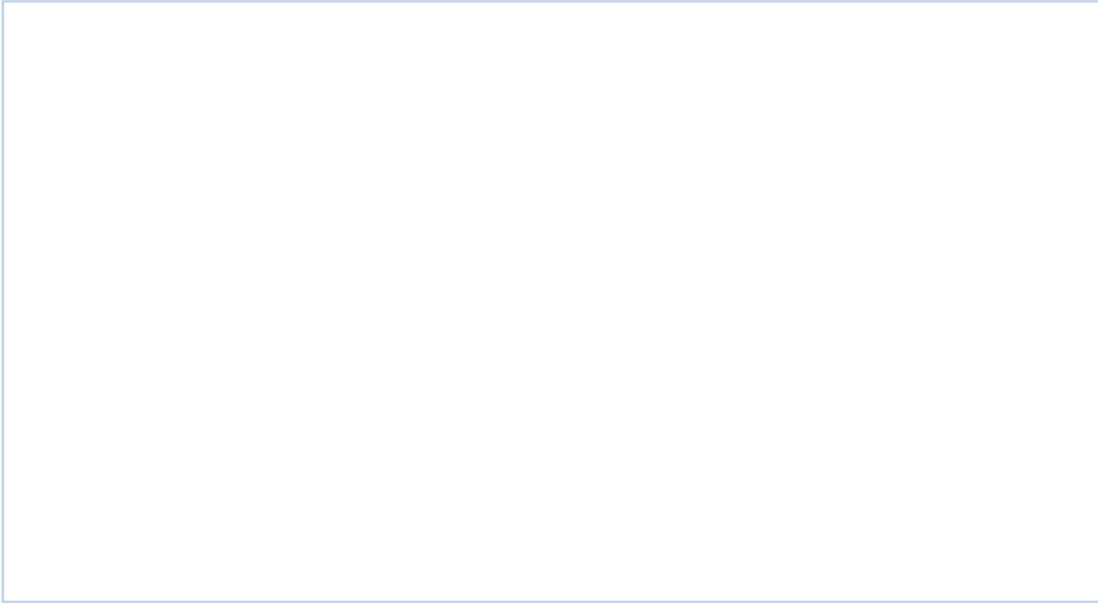
Practice task 6

1. What procedures are in place for managing WHS issues raised through consultation in your organisation or an organisation you are familiar with?

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2. If no procedures are in place, list the procedures you would recommend.



2D

Record and communicate consultation outcomes to the work team

As a supervisor, you must be familiar with the organisational policies and procedures regarding consulting and record-keeping. Consultation outcomes must be recorded and communicated to team members. They may be recorded formally or informally and address issues, such as:

- procedures
- specific reports
- assessment results
- proposed changes in the workplace.



Formal records

Formal recording procedures may vary according to the size and nature of your work environment. If the organisation is small, it may have different processes to those of a large workplace with shift workers. Meetings should have an agenda and have minutes taken. A copy of the minutes, once approved, must be accessible to all work team members.

Minutes of meetings are legal documents and should include:

- the time, place and date of the meeting
- the names of people in attendance and apologies for those absent
- a resolution to accept or decline previous minutes as a true and correct record
- a discussion of agenda items and other business in order of discussion
- reasons for recommendations
- the decisions made or action to be taken, including details of follow-up and the persons responsible
- the time and date of the next meeting
- the chairperson's signature.

Training records

Records should be kept of all training that workers undertake in relation to WHS. Follow your organisational policies and procedures for maintaining and storing WHS training files.

Counselling and disciplinary action records

There may be times when counselling or disciplinary actions are required. It is essential that all information discussed in a counselling session or a disciplinary meeting is kept confidential. Follow your organisational procedures regarding confidentiality and privacy when recording details of these sessions. The records must be accurate, factual, clear, objective and concise. These records may be used as legal documents.

Informal records

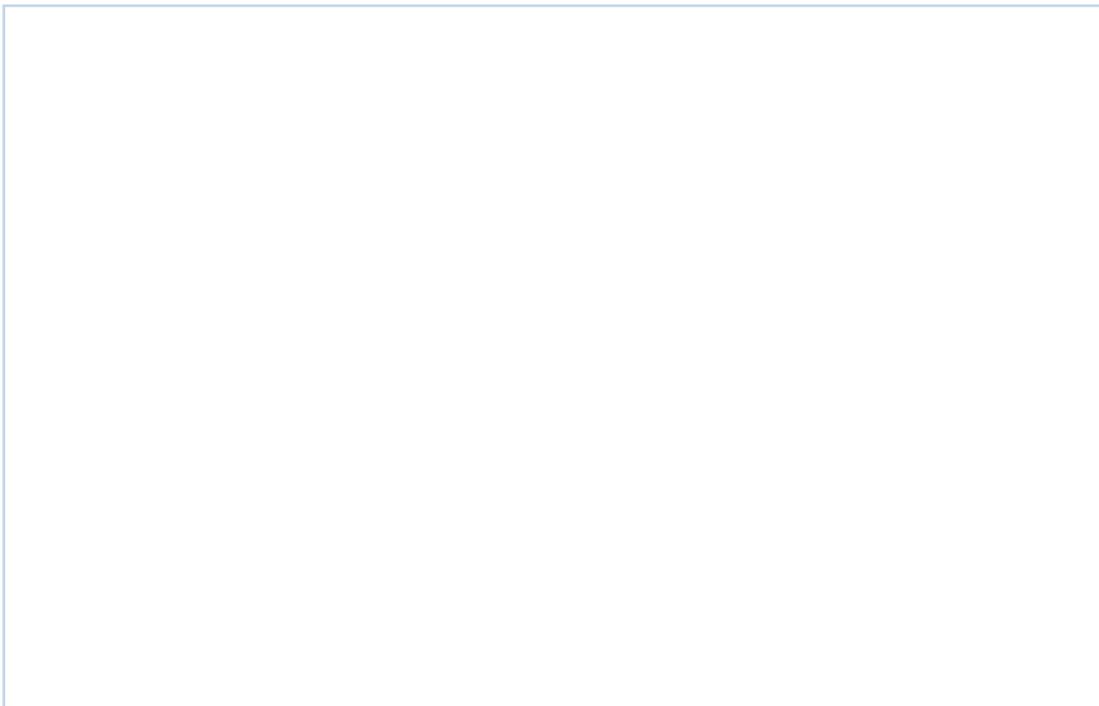
When decisions are made as the result of an informal procedure, such as a response to a request through a suggestion box or an issue that was raised in an informal discussion, they must be communicated to the relevant work team members and recorded in a register of WHS issues.

Effective communication is key to reducing the risk of incidents in the workplace. All information must be recorded and communicated in a manner that is appropriate to all workers. The organisation's size and the operational specifics will dictate what type of communication is the most efficient.

Employers must also be aware of any cultural considerations or disabilities that may affect all workers accessing the information.

Practice task 7

1. In a report, describe a situation, informal or formal, where you communicated information about a WHS matter. If you do not have workplace experience, interview a person with experience who can discuss the process followed.



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2. How was information about the outcome circulated?

3. What were the advantages and/or disadvantages of this approach?

Summary

1. Your role in implementing and monitoring WHS policies and programs requires you to manage and encourage the participation of your team in WHS.
2. Consultation engages people in the workplace using an open and supportive approach where workers feel confident expressing their concerns and raising ideas.
3. Consultation procedures can be achieved via a range of mechanisms in the workplace including health and safety representatives and committees, formal and informal meetings, individual performance management meetings and other committees.
4. WHS legislation, regulations and codes of practice outline the obligations of PCBUs and workers in relation to WHS consultation and participative arrangements.
5. You must be aware of organisational policies and procedures regarding record-keeping for consultation and must be able to understand and interpret these for your work team.

Learning checkpoint 2

Manage participation in WHS issues

This learning checkpoint allows you to review your skills and knowledge in managing participation in WHS issues.

Part A

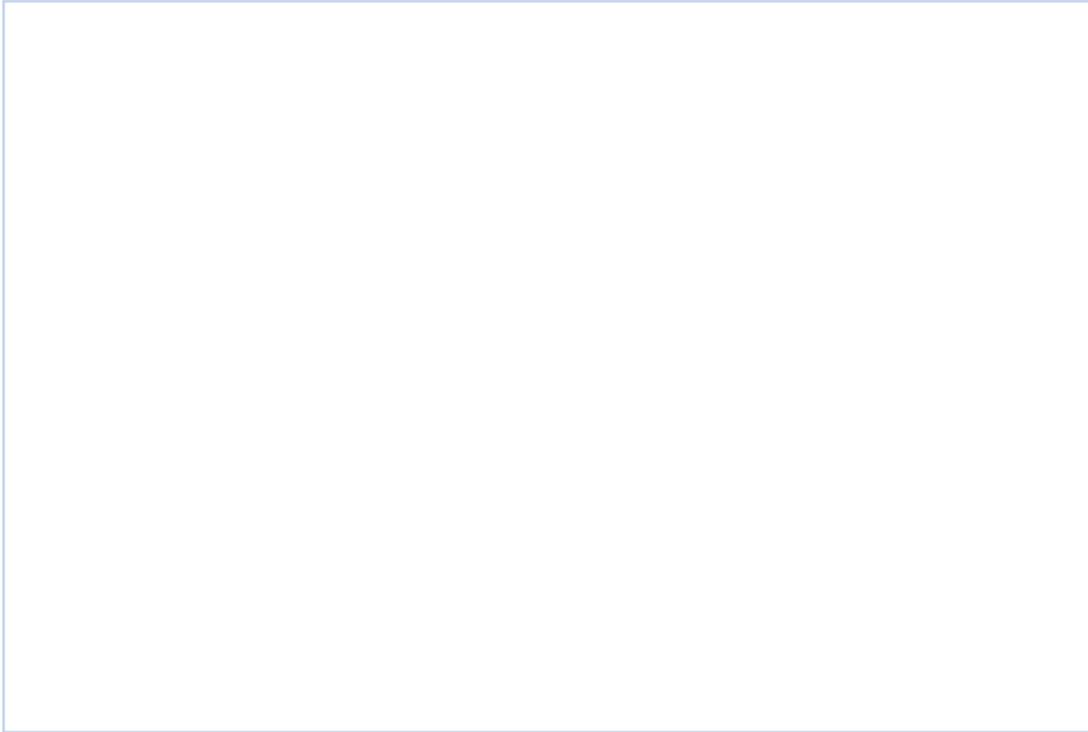
1. List the health and safety representative for your team or work area. What are the powers and functions of this representative? Is there a WHS committee in your organisation? Who is on the committee? What is its purpose?

2. What information do you communicate to your team about the outcomes of consultation?

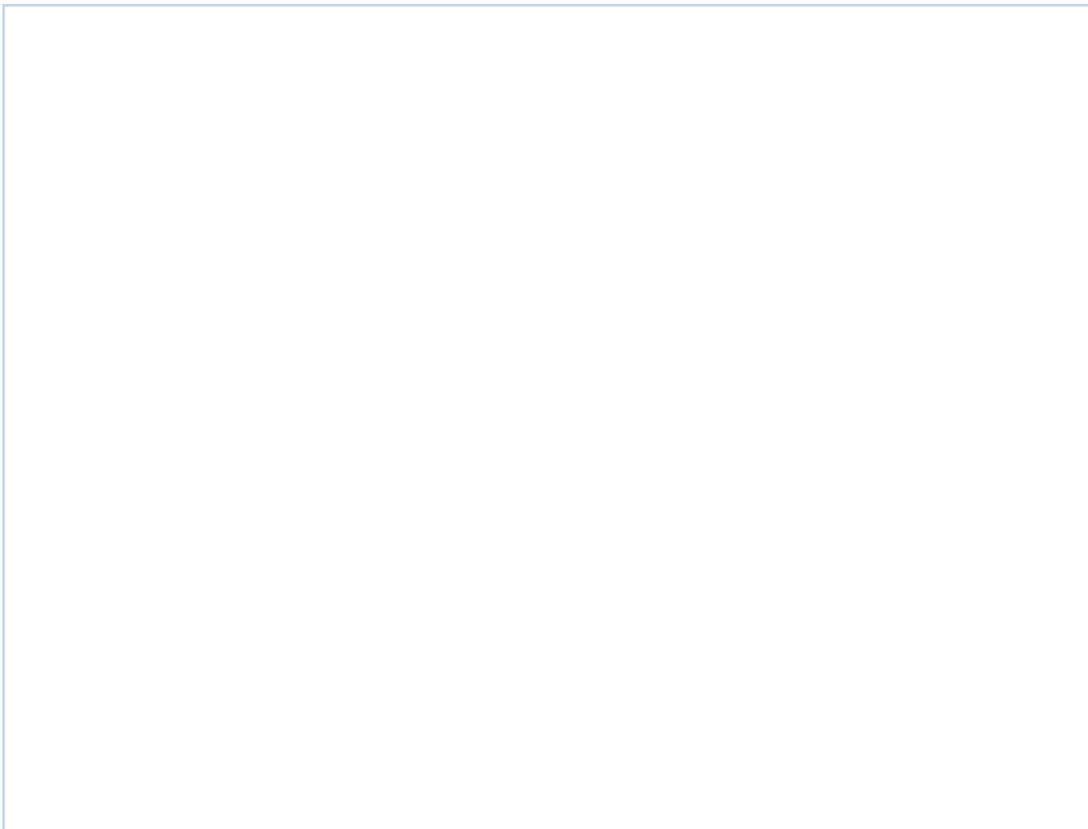
Part B

1. What are the legal obligations of your employer for WHS consultation in your state or territory?

2. What organisational policies and procedures exist in your organisation that cover WHS consultation and its required record-keeping? If there are none, what should exist in the organisation?



3. Are the organisational WHS policies and procedures easy to understand? Why or why not?



4. Identify where you can seek assistance and advice on the interpretation and application of WHS policies and procedures for your work team.



Part C

Read the case study, then answer the questions that follow.

Case study

John Ling manages an office-based work team in a large organisation. WHS consultation is a key part of his responsibilities, so he discusses WHS with his team every month at their team meeting. At these meetings, he summarises the minutes from the health and safety committee meetings and discusses the WHS statistics for incidents, hazards and near misses reported across the organisation for the month. This information is based on records retained in the organisation's human resources management system.

John notes any issues from his team in the minutes and agrees when he will report back to the team regarding outcomes. Sometimes he is able to focus on the WHS items they raise and respond to them quickly. Other months, he is so busy with customer and management requirements that he doesn't get the time to look at the WHS actions from the meeting. He isn't worried about this because he knows his team understands he is very busy.

Changes are coming for the work team and the organisation. John meets with his team and briefs it on a new IT system that is being implemented for internal email and payroll processing. There is also a reorganisation of the office environment and people will be moving desks. These changes mean ergonomic assessments need to be arranged for his team and a range of potential hazards will need to be addressed.

John wishes he had some extra help to deal with all of this. He has looked at the policies and procedures for WHS consultation, but cannot work out how he can use them with his team to help meet the current workload and take care of WHS.

1. Is the situation ideal for John and his work team? Why or why not?

2. What should John do to ensure he is able to use the WHS policies and procedures effectively with his work team?

3. What methods of consultation are available to John to involve his team in addressing the WHS issues that arise now, or may arise in the future, due to the changes in the environment?

Topic 3

Implement and monitor WHS training

Training is a key part of WHS. Under current legislation, PCBUs must provide appropriate WHS training, information and instruction and supervision for all people in the workplace. The type of training will vary according to the type of organisation, the specific requirements of activities and workers' skills. As a supervisor, it may be your role to ensure workers have the required training.

You may be responsible for identifying the team's safety training needs and for implementing and monitoring your organisation's procedures for providing WHS training. You also need to directly instruct your team on following WHS policies and procedures, or refer them to the appropriate personnel if specialised advice or assistance is required. You must also consider the language and literacy of workers, and ensure all training is appropriate to their needs.

In this topic you will learn how to:

- 3A Identify WHS training needs
- 3B Meet WHS training needs
- 3C Provide WHS learning opportunities and assistance
- 3D Identify and report on anticipated training costs

3A

Identify WHS training needs

Ensuring workers are appropriately and adequately trained in using the equipment needed to carry out their work tasks is a critical step in controlling risk or harm. PCBU's must ensure, so far as is reasonably practicable, that workers are provided with the required information, instruction, training and supervision.

Training and information for your team

Training and information for your team may consist of a range of elements designed to ensure that:

- the organisation and individuals meet their obligations under WHS legislation, regulations and codes of practice
- work groups and individuals are compliant with organisational policies and procedures.

Employers' information and instruction to workers

Employers must provide information and instruction to workers regarding:

- WHS
- the health effects of specific hazards
- the organisation's risk management processes
- the organisation's WHS consultative procedures
- potentially hazardous work tasks
- changing practices or policies in the workplace (that could put workers at risk).

Training needs analysis

A number of methods can be used to identify the training needs of workers, including results of WHS audits, feedback via team meetings and performance management meetings between individual workers and their supervisor or frontline manager. To gauge requirements for training of a work group or across an entire organisation, a training needs analysis can be used.

A training needs analysis is underpinned by four components as outlined below.

Evaluate

Frontline managers and supervisors need to evaluate the skills, knowledge and competence of their workers. A WHS training needs analysis is required to ensure training is given to relevant people.

Training needs analyses may be conducted when new workers are inducted into the organisation. Training needs may be identified at this time and may need to be addressed before the worker commences their tasks.

Identify

The identified needs may be categorised according to priority, indicating which needs are urgent and which are of lower priority. All aspects of the worker's environment must be taken into consideration. The worker may need training in policies and procedures of the general work environment or they may require specialised training with requirements, such as licences or certificates required to operate machinery and equipment.

As a supervisor, you may find that workers need refresher courses or upskilling to remain compliant with legislation and WHS requirements. Ongoing monitoring and assessment identify any deficiencies or gaps in workers' abilities. Observing a worker at work can help you identify where further training is needed.

Discuss

As a supervisor, you are required to discuss these training needs with both upper management and the worker. Follow your organisational policies and procedures regarding the implementation of training plans.

Implement

To meet workers' training needs, a training plan must be implemented based on the training needs analysis you have conducted. This requires coordination with the worker, management and training provider.

Practice task 8

Consider the tasks and duties that are part of your workplace or one you are familiar with. What areas do you think could benefit from additional training? Is there any additional information that needs to be included in the induction process? Write a short report on a work area or workplace addressing possible training needs.

The report should include:

- the job roles and responsibilities of two workers
- additional training that could benefit these workers
- how this additional training would contribute to work health and safety.



3B

Meet WHS training needs

As a supervisor, you may be required to develop a WHS training plan. This training plan will be built on the training needs analysis you have conducted. Your organisation may already have WHS training plans in place or templates already developed that you can use.



The training plan should include:

- the training required
- workers requiring this training
- time lines for the training
- a timetable for follow-up training.

Training plan framework

A training plan framework may be structured as follows.

Name	Manual-handling induction	Manual-handling refresher	Emergency First Aid Level 1	Apply First Aid Level 2	Workplace First Aid Level 3
Paul B.	Date of completion	Date of refresher course (12 months after induction)	N/A	N/A	
Susan L.	Date of completion	Date of refresher course (12 months after induction)	Date of completion	Date of refresher course (12 months after induction)	
Theresa K.			Date of completion	Date of completion	Date of completion
Terry M.	Requires induction				

Training schedule framework

A training schedule framework is developed after the training plan framework is designed and may be structured as follows.

Month	Manual-handling induction	Manual-handling refresher	Emergency First Aid Level 1	Apply First Aid Level 2	Workplace First Aid Level 3
July	12				
August					
September			15	18	24
October					
November		24			

Key areas to consider

Depending on the results of your training needs analysis and the size of the organisation, the training plan may be straightforward or very complex. You also need to consider the following when developing the training plan:

- Budget allocation
- Consultation with relevant people
- Record-keeping
- Evaluation and review
- Review of needs analysis



Budget allocation

Your organisational or work group budget must have a budget allocated for the required WHS training. Your organisation's business or operational plan includes what training is required and what budget is allocated for training.

All training costs should be included in your WHS training plan and discussed with relevant people in your organisation, including managers and human resources personnel.

Consultation with relevant people

Workers should be consulted on any planned training. You must make sure training is suitable for workers and is delivered appropriately for their needs. Ensure workers understand the benefits of the training and the legislative requirement to complete the training.

Follow your organisational procedures regarding who needs to approve your plan and who you should discuss it with. There may already be WHS training plans in place for you to build on. You may need to consult the following people about WHS training.

- Other team leaders or supervisors – to determine whether other workers require similar training and can therefore share resources.
- The human resources department in your organisation – to determine whether policies or procedures for meeting training needs already exist.
- Your union delegates or industry representatives – to determine whether WHS training is guided by other authorities.
- The WHS regulator of your state or territory – to determine the training needs of workers to ensure WHS legislative compliance.
- Accredited trainers external to your organisation – to determine the availability and cost of external training.
- Other workers within your organisation – to determine the availability and resources needed for internal training.

Record-keeping

Your organisation must keep records of each worker's skills, knowledge, experience and WHS training history in a WHS skills register. These records help identify a worker's training needs. Each worker should have a detailed job description that lists the WHS issues surrounding each task they perform. This information may be used as a guide when updating equipment, altering processes or changing roles.



Evaluation and review

WHS training is an ongoing commitment. Changing circumstances at work directly affect WHS and this requires training needs to be reassessed.

When changes occur in the workplace, training ensures workers are familiar with the health and safety aspects of the new situation. Training refresher courses may also be implemented to remind workers of WHS issues.

Training needs may change when:

- new equipment or machinery is purchased
- new products, such as new cleaning chemicals, are introduced
- a member of the work team has a change in their job role
- new health and safety legislation affects your industry
- the layout of the work environment has changed
- there has been an accident, injury or other health and safety incident at work.

Review of needs analysis

When you have completed your training needs analysis, you need to undertake regular review of it to ensure new training needs are identified and provided for.

Keeping your needs analysis current and up-to-date ensures that you avoid the risks and costs associated with a lack of compliance with WHS requirements in the workplace.

New or additional training may be required due to:

- changes in legislation, regulations and/or codes of practice
- changes within the organisation that affect the roles in your work group or the activities performed
- changes to machinery, plant, equipment or systems that require updated training for users
- the results of an incident that has occurred in the workplace.

Practice task 9

Fill out the table with a WHS training identification checklist using yourself as the worker. In what areas do you need further training or instruction? You can also use this checklist to analyse the needs of workers within your team or a team in a workplace you are familiar with.

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WHS training identification checklist	
Name of worker	
Position	
Tasks	
Do tasks require licences, certificates or qualifications? If so, what sort?	
Do tools or equipment used require WHS training?	
Does the worker require WHS training to perform in the work area?	
What WHS qualifications does the worker already have?	

continued ...

... continued

WHS training identification checklist	
What are the inherent hazards of the work tasks?	
Is the worker aware of these hazards?	
Does the worker need training in hazard identification?	
Does the worker need training in consultative procedures, including when and how to contact health and safety representatives?	
Is the worker aware of WHS procedures within this organisation?	

3C

Provide WHS learning opportunities and assistance

As a supervisor, you need to be aware of the range of WHS training available and how to access it for the team. Find out what training can be delivered in-house by experienced workers or qualified personnel. You may decide to source training delivered by organisations or people from outside the workplace. Follow your organisational procedures for making training arrangements. There are a range of strategies that can be used to provide WHS learning opportunities and assistance.

Internal training

Internal training may be through training sessions, workshops or mentoring. It may include:

- induction training
- emergency procedures
- mentoring.

Induction training

The delivery of induction training will vary depending on the size of the organisation and the number of workers starting at one time. Large organisations may conduct formal induction sessions in groups, while smaller workplaces may provide one-on-one training.

An induction session should include an orientation tour of the workplace to familiarise workers with facilities, emergency exits, noticeboards and work colleagues. An induction booklet or kit should be provided to each worker with information on the organisation's WHS policies and procedures.

Organisational induction training should be regularly and WHS information revised when procedures change and when new equipment has been purchased.

WHS information that should be provided in induction training includes:

- existing hazards and risks at work and how to identify new ones
- measures applied to control hazards and risks
- how to interpret safety signs and information
- how to work and operate equipment safely
- fire and emergency and first-aid procedures
- organisational procedures for reporting health and safety incidents
- who to discuss safety issues with; for example, the elected representative for the work group
- how to get involved with health and safety; for example, attending meetings and consultation.

Emergency procedures

All workers must know evacuation procedures and the location of emergency exits, firefighting equipment and first-aid supplies. All workers should know their roles and responsibilities in an emergency situation. Emergency procedures should be explained to team members and displayed in a prominent position in the workplace.

The training emergency information needs to include:

- the meaning of the evacuation alarms
- the names and appearances of the fire wardens
- the location of the emergency exits
- what to take and what not to take with you
- how to walk down the emergency exit steps; for example, single file, walk slowly, don't panic, hold onto the rail
- where to meet and what to do when you are there
- when you will be told to return to your workplace.

Mentoring

A mentor may be assigned to provide a new worker with assistance. WHS mentors must be skilled in the task they are assisting others with, have analysed the risks involved and have a best practice solution established. Mentors can share their knowledge, experience and expertise with the worker and encourage them to discuss their concerns or ask for guidance.

Mentors can contribute to the training process by:

- explaining or clarifying issues
- respecting contributions from others and acknowledging achievements
- leading by example in promoting a safe workplace
- providing guidance in solving problems
- providing encouragement and feedback to workers.

External training

External training generally involves WHS courses. The following types of courses may provide appropriate support for your training needs:

- Licenced or certificate courses
- Accredited or approved courses
- Short courses
- Vocational (VET) and professional courses

Licensed or certificate courses

Workers performing some types of tasks and operating specific equipment are required to hold special licences or recognised certificates. Requirements vary between states and territories. Industry legislation and standards provide guidance on the particular task. Training may take place at the workplace or on the premises of the training provider.



Accredited or approved courses

Training courses for HSRs must meet criteria determined by the relevant health and safety authority. HSRs need the relevant skills and knowledge to carry out their duties and responsibilities. Under section 72 of the *Work Health and Safety Act 2011* (Cth), HSRs are entitled to attend a:

- five-day initial training course
- one-day bridging course, if required
- one-day refresher trainer course 12 months after initial training.

First-aid training courses are vital for reducing the severity of injury and illness in the workplace. The WHS regulations require that the PCBU ensures the provision of and access to first-aid equipment and facilities. The PCBU must also ensure an adequate number of workers are trained in first aid.

Short courses

Short courses may be appropriate for meeting organisational training needs.

Below are examples of external courses that are relevant for WHS training.

Short external courses

- Risk assessment and control, hazard identification and consultation
- Management and supervisory techniques
- Workplace ergonomics, stress management and bullying
- WHS issues specific to the organisation
- WHS for workers who speak English as a second language and/or who are from culturally and linguistically diverse backgrounds

Vocational and professional courses

A WHS training component is included in traineeship and apprenticeship programs. WHS training is also available in various forms and levels, from vocational education and training (VET) sector training to a university degree. WHS education covers a diverse range of industries and disciplines, and may be very specialised. Depending on the organisation and its training needs, support or funding may be available for a worker or supervisor to pursue WHS education.

Practice task 10

Reflect on your job description and responsibilities. Research some external training that would develop your skills and benefit your organisation. Create a table or complete this table to help you organise your findings.

WHS training identification checklist	
Your job description	
Skills needed	

continued ...

... continued

WHS training identification checklist	
Skills you could develop	
Where you could acquire the skills	
Cost and length of proposed training	

3D

Identify and report on anticipated training costs

Once training needs have been identified, you need to consider the cost of training.

Costs may include:

- fees associated with external training courses
- fees of a training consultant who may come to the organisation
- production downtime while training takes place
- replacement wages to cover workers on training courses
- the cost of developing manuals, user guides or other training resources created by your organisation
- additional expenses incurred, such as travel, resources, overtime payments, equipment or venue hire.



Consider cost-effective WHS training options

All training costs must be included in training recommendations when submitted for approval. Your organisation needs to know the most cost-effective method of implementing training. This involves considering group versus individual training, on-site rather than external training and in-house expertise versus outside consultants.

WHS training costs may be determined based on:

- the cost of WHS training for each individual worker
- the average cost of WHS training for all workers
- the percentage of worker wages spent on WHS training
- the percentage of the department or section budget spent on WHS training
- the percentage of the overall training or professional development budget spent specifically on WHS training.

Example: WHS training cost report

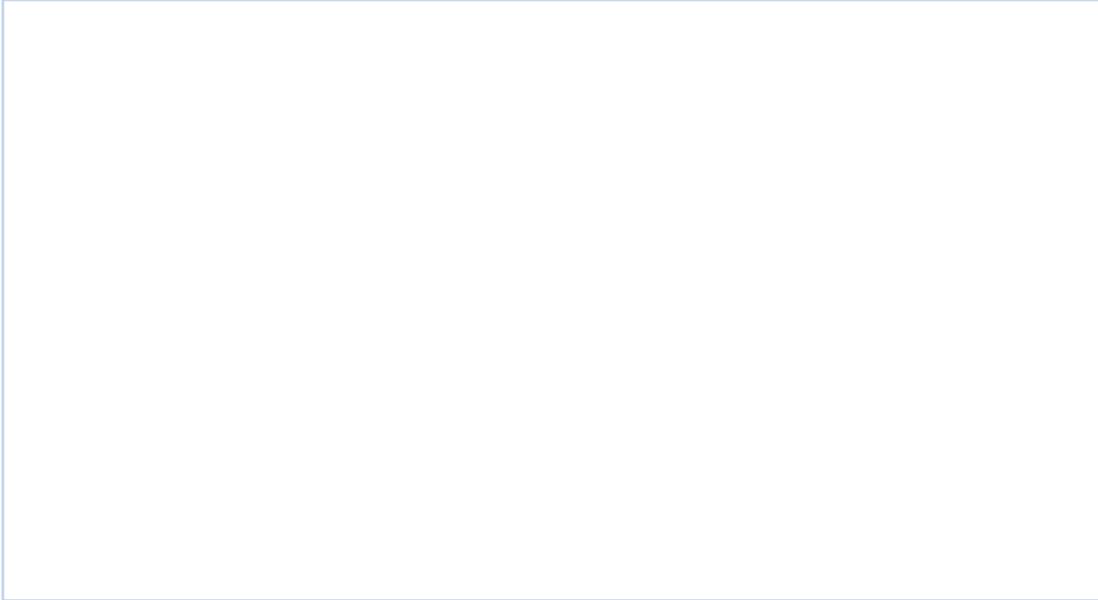
The following is one example of how an organisation can record and report on WHS training costs.

WHS training cost report			
WHS training activity	Worker/s affected	Cost	Expected outcomes
Development of an organisational WHS manual	Organisation-wide	Three administration workers for 40 hours each at \$25 per hour: \$3,000 Two WHS representatives for 40 hours at \$30 per hour: \$2,400 One WHS consultant for 10 hours at \$60 per hour: \$600 Printing costs for 500 manuals: \$1,000 Total: \$7,000	Higher overall awareness of WHS responsibilities will lead to a decrease in workplace incidents, resulting in decreased downtime due to worker health and safety incidents, WorkCover costs and medical fees.
Risk management course for health and safety committee members	Five committee members	Five workers for 14 hours each at \$30 per hour: \$2,100 \$150 attendance fee per participant: \$750 Total: \$2,850	Risk management refresher course will be implemented before next planning session, ensuring effective WHS risk-management strategies are in place by next financial year. This is in accordance with required quality assurance standards.
Hazard management trainer's guide	Yet to be ascertained	\$65 Total: \$65	This guide will be used by health and safety committee members to train all workers in hazard management. Long-term costs are yet to be ascertained, as members will construct a training plan after accessing the guide.
Course: Certificate IV in Work Health and Safety	One new health and safety committee member	Course fees: \$442 60 hours at \$30 per hour: \$1,800 Total: \$2,242 (Note: organisation already owns required learning resources.)	A new committee member is required after resignation of a worker. Training of committee member is required according to organisational policy.

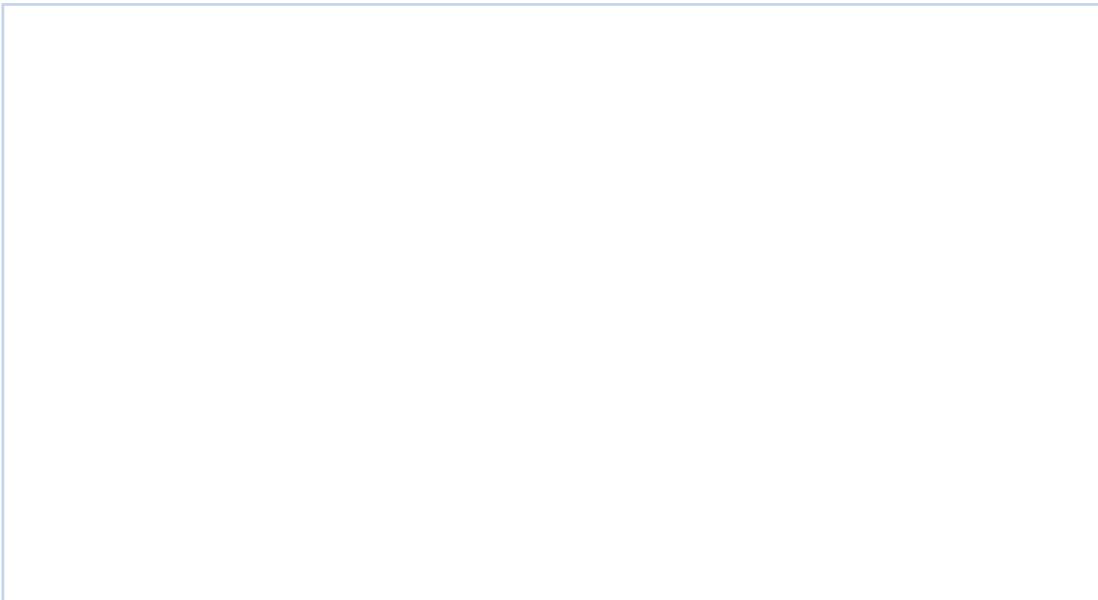
Practice task 11

Use the internet to research whether your state or territory government has incentive schemes for organisations to arrange WHS training.

1. How are these incentive schemes implemented?



2. How do these incentive schemes affect the cost of training for organisations?



Summary

1. Training is a key part of work health and safety. Under current legislation, organisations must provide appropriate WHS training, information and instruction for all people in the workplace.
2. The types of training provided will depend on the activities the organisation is engaged in and the job roles within the organisation.
3. Training needs analysis is an effective tool to gather training requirements by assessing current capabilities and competence of workers and identifying any gaps that need to be addressed via formal or informal training.
4. There are a range of strategies that can be used to provide WHS learning opportunities and assistance. It is important to determine which are the most appropriate and relevant for the members of your team.
5. Health and safety training is an ongoing commitment. Changing circumstances at work affect health and safety, and instruction and training must be reassessed.

Learning checkpoint 3 Implement and monitor WHS training

This learning checkpoint allows you to review your skills and knowledge in implementing and monitoring WHS training.

Part A

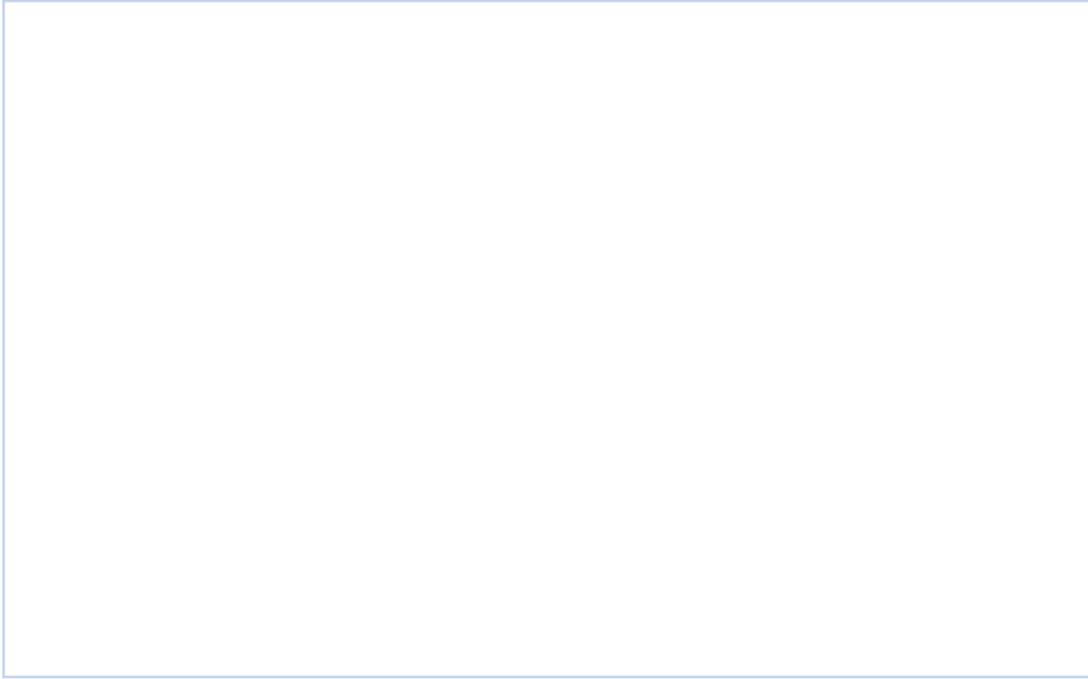
Read the following questions, then place your answers in the table.

1. Identify the WHS training, qualifications and performance standards for each role/position in your team (taking account of legal requirements and codes of practice).
2. For each of the roles you have identified, list the current WHS competencies of the workers who actually occupy these positions. Ensure you protect individuals' identities by referring only to job titles, rather than actual names.
3. Building on your answer to question 2, where are the gaps to accepted standards of performance and what WHS training is required?

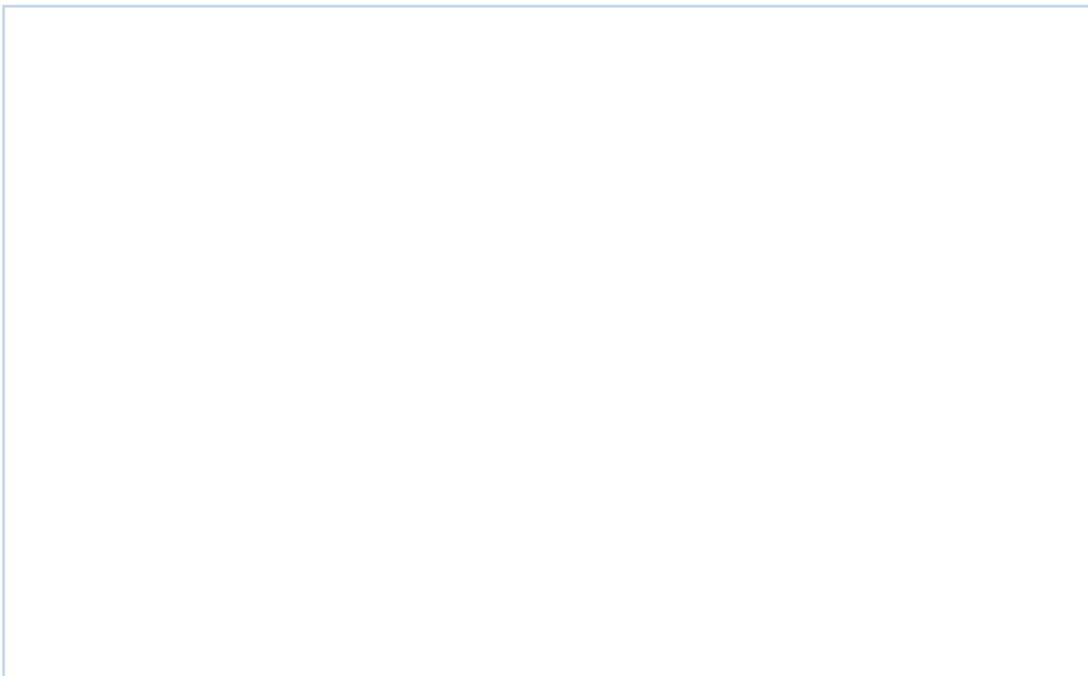
Role/position	WHS training, qualifications and performance standards	Current WHS competencies	Training gaps to accepted standards of performance	Required WHS training

Part B

1. Access your organisation's WHS training policy. Identify the learning opportunities that are provided for workers in the organisation to ensure WHS training and information is up to date and compliant with current WHS legislation, regulation and codes of practice.



2. Using the information from the policies you have accessed, identify any gaps in the WHS training policy or any areas that could be improved to ensure all workers receive the appropriate WHS training. How could these gaps in the policy be addressed?



3. How can coaching and mentoring, in addition to formal learning opportunities, enhance the capability and understanding of workers within the organisation?



Part C

Assume it has been identified that some team members require first-aid training. Conduct some research on first-aid training in your state or territory and outline:

- potential first-aid training courses and providers
- the features of each training course and provider; for example, time, place, qualification offered and length of course
- the advantages and disadvantages of each option
- the cost of each option and any group discounts available
- who in the organisation you need to report the costs of the first-aid training to and how you would do this
- the training course/provider you believe is best and why
- how you could encourage workers to participate in the training
- how you would monitor this training to evaluate its effectiveness.



Topic 4

Implement and monitor procedures for hazard identification and risk control

Workplace hazards exist in all workplaces and organisations. A hazard is a source or situation with the potential for harm resulting in injury, illness or damage to property. A risk is the likelihood that a hazard may cause harm. Everyone has the responsibility for reporting hazards they identify at work and this is critical for maintaining a safe and healthy workplace.

It may be your responsibility to implement and monitor procedures for identifying hazards and assessing risks. All organisations should have procedures in place for systematically identifying and monitoring workplace hazards and risks. It is important that you always follow these organisational procedures to ensure the procedures for hazard identification and risk control are known and complied with within your work group or team.

In this topic you will learn how to:

- 4A Identify and report on hazards
- 4B Promptly action hazard reports
- 4C Implement procedures to control risks
- 4D Identify and report inadequacies in risk controls
- 4E Monitor outcomes of reports

4A

Identify and report on hazards

To eliminate or control the potential risk of a hazard, it must first be identified. The aim of the hazard identification process is to determine all possible situations where workers may be exposed to harm or sustain an injury in the workplace. Codes of practice provide guidance in identifying particular hazards. These may vary between states and territories.

The following questions may arise in hazard identification.

Questions that may arise in hazard identification

- What parts of the work environment move; for example, doors, lifts, windows, wheeled furniture? Is there anything about these that could be dangerous?
- What substances are used? Is there anything about the ways these are stored or used that could be dangerous?
- What equipment is used? Is there anything about it or the way it is used that could be hazardous?
- Is there anything you or others do that could be hazardous?
- Do work procedure shortcuts follow all safety procedures?
- Could anyone be hurt by modifications that have been made to tools or equipment?
- Does everyone take as much care with workplace practices and procedures as they did when they first started in the workplace?
- What happens when cleaning, maintenance or repairs are done?
- Is anyone who is inexperienced or untrained working in the team?

Workplace inspections

Management, HSRs or members of the HSC may carry out inspections. Inspections help ensure WHS issues are identified and resolved before any harm or injury is incurred.

Inspections may be required because they are:

- a routine hazard inspection
- a routine inspection of particular activities or areas
- an inspection arising from a complaint
- an accident and incident investigation
- following up inspections to monitor new WHS measures.

Use checklists

Checklists may be used as a tool to assess processes or equipment for evidence of potential problems. Tailor checklists to match industry practices, regulations, organisational processes and the specific work environment. Complex and high-risk industries may require detailed checklists to ensure every aspect of the procedure is monitored.

Areas commonly covered by checklists include:

- manual handling
- housekeeping (floors, workbenches, ladders and walkways)
- machinery (noise levels, moving parts)
- working at height
- chemical hazards (protective clothing, fumes, storage and labelling)
- electrical safety
- fire safety
- first-aid provisions.

Other hazard monitoring methods

Some other ways of monitoring hazards are set out below.

Job safety checks

Checking on job safety involves observing a job from start to finish and recording its steps. Each step of the job is then assessed for potential hazards that may have been overlooked previously.

Input from team members

Team members can provide valuable input on hazards and risks. Issues and concerns may arise as tasks and duties are being completed, and workers should be encouraged to report their concerns.

Suppliers

Information from suppliers of materials or equipment can identify hazards before they enter the workplace. This may be in the form of safety data sheets (SDSs).

Safety audits

External safety consultants may conduct inspections and suggest recommendations for improvement in written reports.

Types of hazards

There are various hazards, which fall into the following categories:

- Hazardous substances
- Manual handling
- Machinery and equipment
- Work environment
- Psychological work environment
- Hidden hazards

Hazardous substances

Hazardous substances may adversely affect the health of those who come into contact with them and include poisons, chemicals and carcinogens (cancer-causing substances). A substance is deemed hazardous if it meets the criteria in the Approved Criteria for Classifying Hazardous Substances [NOHSC:1008(2004)]. Chemical hazards are responsible for varying degrees of risk in the workplace. They can be solids, liquids or gases in pure or mixed form. In the workplace, they can generate vapours, fumes, dusts and mists. Exposure to hazardous substances occurs through ingestion, direct contact, inhalation, absorption or injection, and can result in immediate or long-term health effects. Codes of practice exist for hazardous substances and apply to manufacturers, importers, suppliers and any worker handling hazardous substances.

Manual handling

Manual tasks that involve handling loads by lifting, stretching, bending and twisting, or moving heavy equipment are major causes of injury at work. Repetitive work with equipment such as machinery and computers is also hazardous, and injuries can occur through packing, typing, assembling, cleaning and sorting. Codes of practice for manual handling in your state or territory should guide hazard identification.

Machinery and equipment

Serious injuries frequently come about through using machinery and equipment.

When identifying machinery and equipment hazards, consider:

- machinery with moving parts
- equipment that uses high force or rotational speed
- mobile machinery that may hit or strike a worker
- machines that may overturn.

Workplace environment: potential hazardous areas

A safe and healthy work environment is essential for workers and required by law.

Potential hazardous areas to consider in the workplace environment

- Dangerous floor surfaces, inadequate or unstable fixtures, air quality, temperature, lighting and electrical fittings
- Untidy housekeeping
- Inadequate emergency plans
- Poor access to and egress from buildings
- Stress from heat or cold
- Lack of security for workers and public
- Risks from neighbouring workplaces

Workplace environment: other aspects to consider

Other aspects of workplace environments to be considered are set out below.

Noise

Workers can experience long-term health effects from overexposure to loud or constant noise. Noise pollution in the workplace may not always be obvious, but it can become a problem if it distracts people, annoys them, interferes with communication or causes stress.

Air

There are strict guidelines regarding levels of fumes, mists or dusts. Hazardous substances within the air are covered under hazardous substances guidelines. The temperature of the air can also affect workers.

Light

Appropriate lighting in the workplace is essential. Insufficient lighting and flickering lights must be avoided. Other emissions, such as laser, ultraviolet, bright light or welding flash, need to be screened to prevent harmful exposure.

Confined space

A confined space may exist where workers are required to work within a closed area. Oxygen levels may become depleted and levels of contamination such as gas, vapour and dust must be monitored.

Energy hazards

All energy sources that can activate machinery and equipment and cause harm to workers must be identified. These sources include electricity, batteries, heat, steam, pressurised fluids or gases, and radiation. Isolation procedures must be developed to address these hazards.

Psychological work environment

WHS legislation in some states has placed more explicit obligation on PCBUs to identify and risk manage psychological and psychosocial hazards in the workplace.

Some psychosocial hazards are:

- bullying, harassment and violence
- work pressure and high demands
- hostile work environments.

Hidden hazards

Sometimes hazards remain unidentified. Hidden hazards may present ‘after the fact’ through disease or injury. If multiple workers become ill at the same time or in the same area or suffer similar injuries, this may indicate an unidentified hazard. Consultation with workers is crucial in the hazard-identification process. Workers may not be aware of harmful exposure until illness presents.

Report on hazards

Depending on the organisation’s WHS procedures, there may be different methods of reporting workplace hazards. All workers must understand the hazard reporting procedure. It is essential that any hazard or risk to workers is reported to the relevant personnel and recorded.

A hazard report form may be used as official notification that a hazard exists and to determine the type of action to be taken. This form should have space to identify the hazard, assess the risk and report the action required. Signatures and dates are required to document that the report has been acted on.

Your organisational WHS policies and procedures for hazard identification and reporting should include details about the process to follow when reporting a hazard. Hazard reporting forms should be available on the organisation’s intranet or printed copies available in the WHS manual for your work area.



Incident records

If an incident is identified through informal consultation, it should be formalised and reported according to organisational procedures. Near misses should also be reported, because these identify hazards and allows for corrective action before injury or illness occurs.

Example: hazard report form

The following is an example of a hazard report form, which may be used as official notification that a hazard exists and the type of action that needs to be taken. This form should identify the hazard, assess the risk and include recommendations. Signatures and dates are required to document that the report has been acted on.

continued ...

4B

Promptly action hazard reports

Once a hazard report has been lodged, the personnel responsible must review the report promptly, take suitable action and inform relevant workers of the outcomes and actions. Your organisation has policies and procedures to guide you in reporting and managing hazards in the workplace. Ensure you are aware of the steps you need to take as a supervisor or frontline manager.

After a hazard report has been submitted, the following steps should be taken:

- Examine the hazard
- Assess the risk
- Determine a time line for solving the problem
- Nominate someone responsible for actioning the report
- Implement risk controls
- Sign off the hazard report form

Hazard reporting procedures

Procedures should be in place to monitor hazard reports and ensure appropriate action is taken within a suitable time frame. The information should be entered in a hazard control log. A hazard control log summarises all hazards reported and the actions taken to correct the problems.

As a supervisor, it is your duty to take any hazard reports seriously. You must ensure prompt and appropriate responses to hazard reports are taken. You must have a clear understanding of your role and responsibilities within the organisation. If you are unsure of your responsibilities and the boundaries of your role, seek clarification with your manager.

The information below outlines the responsibilities of a supervisor in regard to hazard reporting procedures.

Supervisor responsibilities in regard to hazard reporting procedures

- Advise workers or team members on how to identify hazards and submit hazard reports
- Know who the report should be submitted to
- Know when a worker or team member submits a hazard report
- Identify time lines for decisions and actions
- Determine what the decision or proposed action is
- Know when the appropriate action should be taken
- Ensure decisions are enforced or the appropriate action is taken
- Know what action to take if the response is not appropriate, adequate or prompt
- Keep the person who reported the hazard and other relevant people, including affected workers, informed of proceedings

Actions on hazard identification

Appropriate responses to hazard identification include:

- eliminating the hazard from the workplace altogether
- workplace modifications
- altering workplace practices, systems and activities
- changing objects, equipment or materials used in work practices
- using mechanical or technological tools to make work practices safer
- providing information, training or instruction.



Example: hazard reporting and response procedure

The following is an example of guidelines that may be developed within an organisation to guide managers and supervisors in the effective response to hazards that have been identified.

Marko Industries

Hazard reporting and response procedure

In the case of a critical or immediately dangerous hazard, a worker must immediately notify, in any way possible, their supervisor and any available health and safety representatives. If possible, the worker and supervisor should take all reasonable steps to contain the hazard within the bounds of personal safety and submit formal incident reports thereafter.

When a non-urgent hazard has been identified, workers must fill out an organisational hazard report form, which can be found on the company intranet. The form asks for details of the possible hazard, the risks associated with it, where the hazard is located, what areas of the organisation might be affected by it, which workers might be exposed to it and any recommendations as to how it should be treated.

Workers are required to submit the hazard report form to the departmental health and safety representative in hard copy and should receive dated notification in hard copy that the report has been received. The worker should advise their manager that they have submitted a report and they must, if requested, provide details of the report.

The PCBU will provide a written response to the originator of the report within 7 working days. This response should either detail the decision or action to be taken regarding the potential hazard, or provide notice of when a decision regarding action will be made. The final response, to be provided no later than 14 days after the report has been received, should detail all decisions made and why, consequent actions to be taken, the proposed outcomes of these decisions and actions, and any time lines associated with them.

If the report originator is dissatisfied with the response to their report, they can request additional information and/or appeal to their manager. The manager must respond to this appeal within 7 days. If the originator is still dissatisfied, they may appeal to the health and safety committee (by completing and submitting a WHS hazard report appeal form) and can exercise their right to contact external WHS authorities.

Practice task 13

Compare the hazards and risks between a car manufacturing plant and an accounting firm.

1. How do the types of hazards that are present differ between a manufacturing business and an office-based business?

2. What similar hazards and risks do they share?

4C

Implement procedures to control risks

Once a hazard has been identified, options need to be considered in order to reduce or eliminate the risk. Risk controls vary and different methods and time lines need to be considered.

To control a risk, responses must be prioritised. Responses may be required immediately, with additional measures needed in the short term and/or long term. Appropriate risk control procedures depend on the nature of the workplace. Responses may involve eliminating the hazard, modifying the work practices to minimise the risk, introducing risk-minimising equipment or even abandoning certain work practices.

An important part of the risk control plan is monitoring and reviewing. Continually evaluating the plan for its effectiveness and appropriateness is crucial in maintaining a valid risk assessment plan. A detailed checklist may be used to evaluate the program.

Things to consider when developing a risk control procedure:

- The severity of the risk
- The people affected by the risk
- How easily the risk could be controlled
- Other benefits that may result from controlling the risk (increased productivity)
- Organisational policies and procedures regarding risk priorities

Prepare a risk control plan

A risk control plan is a set of procedures addressing how risks will be controlled.

The following stepped process illustrates how consultation, identification and assessment are addressed and fit into the WHS risk control plan.

Step 1

Consult all relevant personnel:

- Familiarise workers with the HSR and/or HSC
- Conduct regular WHS meetings
- Plan strategies to inform workers
- Receive feedback from workers regarding WHS issues

Step 2

Allocate responsibility:

- Nominate personnel and resources needed for risk identification
- Allocate specific responsibilities to HSRs

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Step 3

Prepare a work plan:

- Decide how the plan will be structured (hazard by hazard)
- Prioritise hazards and resources
- Encourage the work team to contribute to the risk control plan

Step 4

Identify hazards:

- Involve HSRs in hazard identification
- Include: SDSs, team members' reports, task observation, inspection reports

Step 5

Risk assessment:

- Analyse the information from the hazard identification process
- Prioritise risk control and take immediate action if necessary

Step 6

Risk control:

- Use the hierarchy of control to address risk

Step 7

Monitor and review:

- Monitor the workplace to check the risk control is effective and for any changes that may affect the existing risk control plan

Hierarchy of control

The hierarchy of control is made of up three levels, as demonstrated below.

Level 1

Elimination

The most efficient way to address a risk is to eliminate the source, if possible. The source of the risk is the hazard, which means removing hazardous materials or abandoning hazardous work practices.

Level 2**Measure 1 – Substitution**

If elimination is not possible or practical, substitute something of a lesser risk for the hazard. This may mean using a less toxic chemical or reducing the size of objects that need to be lifted.

Measure 2 – Isolation

If substitution is not a practical solution, you may need to isolate the hazard from the main work area. This could mean placing hazardous equipment in restricted areas.

Measure 3 – Engineering controls

Implementing engineering controls may involve changing equipment or tools; for example, providing a trolley to move heavy loads, placing guards on moving parts of machinery, installing ventilation to remove chemical fumes or changing the layout of work levels to minimise bending and twisting during manual handling.

Level 3**Measure 1 – Administrative control**

These relate to work procedures and work organisation. Exposure to hazards may be reduced by job rotation, ensuring equipment is maintained regularly or limiting access to hazardous areas.

Measure 2 – Personal protective clothing and equipment

This measure involves providing and using PPE such as hearing and eye protection, hard hats, gloves, masks and protective clothing such as coats and vests. The clothing must fit well and be comfortable under working conditions. Users must be trained in why the clothing is necessary and when and how it must be worn. The use of personal protective clothing and equipment can be a hazard if it restricts movement, sight or hearing, and is the last option for risk control.

Example: risk control plan checklist

The following sample has been included as a guide to a checklist system for conducting risk control plan assessments. This checklist is from WorkSafe Victoria, previously known as the Victorian WorkCover Authority.

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Example: risk control plan checklist

WHS training identification checklist		
Does your risk control plan have the following features?	Yes	No
Have health and safety representatives been involved in preparing the risk control plan?		
Are the roles and responsibilities for preparing the risk control plan clear? Are the relevant people meeting their responsibilities?		
Has the employer signed off on the plan?		
Has the employer provided sufficient resources to implement the plan?		
Have WHS experts and resources been available when necessary in preparing the plan?		
Have you checked the legal requirements for how to identify, assess and control risks in your enterprise?		
Has everyone in the enterprise been informed about the risk control plan?		
Have all of the hazards in the workplace been identified and listed in the risk control plan?		
Are new plant, substances and processes examined to control new hazards before they enter the workplace?		
Have all of the factors that affect the risks been considered in assessing risks?		
Have you taken immediate steps to control risks?		
Do your control measures focus on controlling hazards at their source?		
Do the control measures in the risk control plan meet the standards set by legal requirements?		
Do the control measures in the risk control plan comply with or exceed recognised standards in your industry?		
Does your plan specify short-term, medium-term and long-term actions?		
Have you provided adequate information, instruction and training so the risk control plan can be put into practice?		
Are the roles and responsibilities for implementing the risk control plan clear and being followed?		
Are the time frames in the risk control plan monitored and any identified problems rectified?		
Does the risk control plan include a review of the effectiveness of risk controls?		
Have you set up ongoing processes to maintain the risk control plan?		

Practice task 14

Find out how an organisation's risk control checklist was developed. Describe the differences between the development of the organisation's plan and the process outlined in this unit.

If the organisation has no risk control checklist, prepare an outline plan using the example risk control checklist provided in section 'Example: risk control plan checklist'.



4D

Identify and report inadequacies in risk controls

Sometimes risk control measures are in place but are not efficient or appropriate. Workers must assess whether risk controls are working, identify inadequacies in the system and report any inadequacies according to the organisation's policies and procedures.

Comply with legal requirements

Risk control measures must comply with legal requirements. Hazards must be controlled according to industry regulations. Examining and comparing current controls with the recommended legislation helps to identify any problems or inconsistencies in the risk control system.

Risks need to be reassessed when the following events occur.

Changes to workplace or systems

By considering changes in the workplace, inadequacies in the existing system may become apparent. Any changes within the workplace can affect WHS. Any new hazards must be assessed and control measures put in place if required. Changes may include:

- people (new workers or reduction in staffing levels)
- property (new premises, workstations, plant or equipment)
- processes (new products, packaging, change of production shifts or changes to suppliers).

Incidents, injuries and near misses

You are required by law to report any occurrences of incident or injury and to take corrective action to ensure the incident does not occur again. An investigation should follow an incident as soon as possible. A representative from management and the relevant health and safety representative should inspect the site and obtain an incident report. Accurate, detailed and factual reporting provides vital information for management.

Report inadequacies in risk control

Once inadequacies in risk control have been identified, it is imperative that they are reported to the relevant personnel or authority so action can be taken. Follow organisational reporting policies and procedures. Ensure team members are aware of their responsibilities in reporting risk control inadequacies to you as their supervisor.

The following steps are an example of how risk control inadequacies may be reported.

Step 1

Gather reports from team members and ensure all individual reports are documented in a risk control file or register.

Step 2

Compile team reports.

Step 3

Deliver the report to the appropriate person, including the urgency of the review.

Step 4

Monitor the time line to ensure the organisation responds promptly.

Monitor report progress

Determine time lines and dates for actioning the report, based on the urgency of the concern. These requests should be sent to all personnel involved in the review and approval process. By setting time lines for review, the report's progress can be tracked and monitored. If delays occur, these must be investigated.

Practice task 15

Read the case study, then complete the task that follows.

Case study

Barry Xeng works in an automotive parts manufacturing facility as a production line supervisor. Production line machinery has been upgraded in the past three months and new hazards have emerged, as emergency stop buttons on machinery are not highly visible to production line personnel and are difficult to access when working in some areas of the production line. The hazard was reported to an HSR six weeks ago, but Barry is concerned the situation has not been addressed adequately. Large signs have been placed above head height indicating the presence of an emergency stop button, but these are unlikely to be seen by workers wearing helmets and visors on the production line. Ideally, the buttons need to be refitted using different mechanisms that enable them to be seen and easily reached from the position of a production line operator.

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Suggest ways Barry can report the inadequacies in the hazard management and risk control of this aspect of his operation.



4E

Monitor outcomes of reports

Once reports have been made identifying concerns in the risk control system, outcomes must be monitored to ensure a prompt, effective and appropriate response. If the response or outcome is not acceptable, appropriate or satisfying, the organisation must have resolution procedures in place. Workers should never be expected to work in an unsafe or unhealthy environment. State and territory health and safety legislation require PCBUs, HSRs and/or HSCs to work together to resolve WHS issues if at all possible. As a last resort, an independent WorkSafe or WorkCover inspector may be required to resolve WHS disputes.



Documentation

If there is a dispute or disagreement regarding the outcome of a submitted report, this must be documented, recorded and delivered to the relevant people. Keep copies and records of all relevant correspondence between all parties. Records of the discussion or disagreement must be retained in the appropriate WHS information systems of the organisation for follow-up and future reference. Any actions agreed on to address the dispute or disagreement must be allocated to the appropriate personnel and be followed up to ensure these actions are being addressed.



Meetings

A meeting with the relevant people provides an opportunity for discussion regarding the concerns and issues of the work group. This may involve the work group members, PCBUs, HSRs and/or HSCs. Minutes should be recorded, with recommendations clearly documented.

Applying a standard problem-solving and decision-making method to the issues and concerns of a work group ensures they are aware of the progress with resolution and can be confident their concerns and issues are being addressed in a constructive and timely manner. This is critical for maintaining positive engagement and participation in WHS.

If the meeting is unable to reach an agreement on the steps to resolve an issue or concern, the organisation may need to engage external WHS specialists or experts to review the situation and provide recommendations for resolution. Again, this process should be communicated to the work group concerned, to maintain communication and confirm the appropriate actions are being undertaken.

An effective method to achieve these outcomes includes the following steps.

An effective method to achieve outcomes in meetings

- 1 Document the issue or concern.
- 2 Analyse the issue or concern.
- 3 Consult with the work group about the preferred resolution.
- 4 Agree on the resolution action.
- 5 Inform the work group.
- 6 Monitor and review the implementation of the resolution.
- 7 Evaluate and measure the success of the outcome.

Example: meeting process

Carl compiles a written report, according to his company's policy, about an unresolved WHS issue for his work group. This involves him filling out a company template detailing the issue, how many workers are affected by it, recommendations for action, the financial costs of the action and the time it will take to implement the recommended action. The report also states what legislation or industry codes are being breached, if any.

The report indicates that agreement has not been reached on implementing the resolution for the work group due to non-approval of the funding from the organisation's finance group.

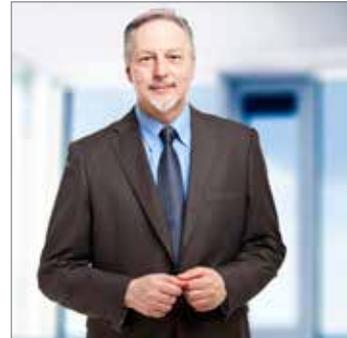
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The report is delivered to the organisation’s HSR, who calls a meeting between Carl, a work group worker and the finance representative to try to resolve the stalemate. No resolution is reached at this meeting.

The HSR escalates the situation to the HSC and requests special consideration of the issue at the next meeting. Carl and the work group worker are asked to attend the HSC meeting. The HSC considers all elements of the situation and approves the recommended resolution despite the absence of funding within the work group budget. The funds are allocated from another area of the organisation.

Throughout the process, Carl updates his team at their regular team meetings and records the progress and outcomes in his team meeting minutes, which are stored on his work group area of the company intranet.



Practice task 16

Consider an example in your workplace, or a workplace you are familiar with, where the organisational response to a WHS issue or concern was inadequate. What was the situation and why was the response inadequate? What could have been done better?

Summary

1. A hazard is a source or situation with the potential for harm resulting in injury, illness or damage to property. A risk is the likelihood that a hazard may cause harm.
2. Organisations need to implement and monitor procedures for identifying hazards and assessing the risks posed.
3. Hazards fall into several categories, including hazardous substances, manual handling, machinery and equipment, and the work environment.
4. Some hazards have regulations and codes of practice to assist in their identification, such as asbestos and manual handling.
5. Understanding your team's work processes and the environment where work is performed is essential in identifying the hazards workers are exposed to.
6. Once a hazard has been identified, it must be reported. Organisations must respond quickly and adequately to manage the hazard and control the risk.

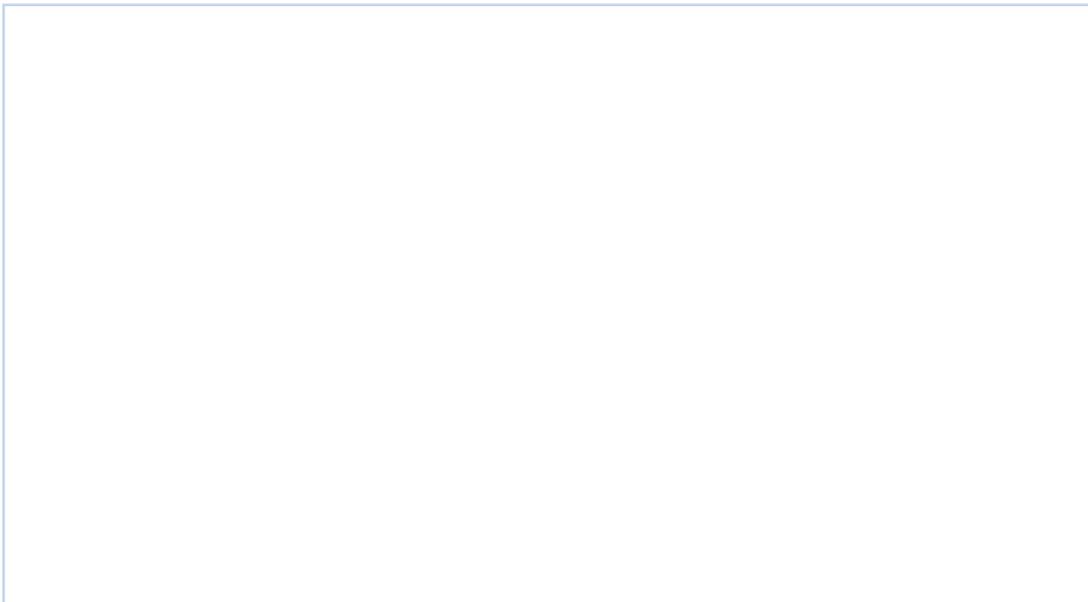
Learning checkpoint 4

Implement and monitor procedures for hazard identification and risk control

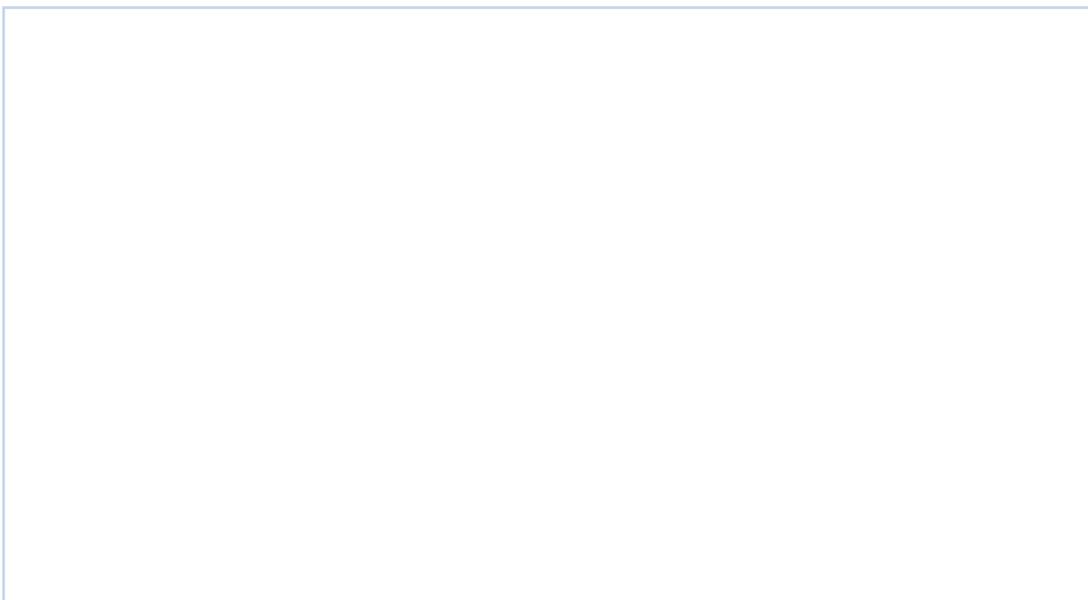
This learning checkpoint allows you to review your skills and knowledge in implementing and monitoring procedures for hazard identification and risk control.

Part A

1. What procedures, systems and tools can be implemented to ensure workplace hazards are continually identified and monitored?



2. Who is responsible for identifying hazards in your workplace? Who is responsible for managing these and controlling any risks associated with these hazards?



3. Perform a hazard inspection to identify workplace hazards in your work group or in an organisation you are familiar with. List the hazards you identify.

Part B

For each of the hazards you identified in Part A:

1. Assess the risk posed to health and safety in terms of the following:
 - Potential threat to health and safety posed by the hazard – what is the worst possible injury or illness that could occur?
 - Likelihood of the hazard causing injury or illness
2. Give each identified hazard a risk level of high, medium or low, based on your risk assessment in the previous question.
3. Prioritise or order each workplace hazard in terms of its risk. Which hazards need to be addressed most urgently?
4. Describe how the organisation should go about addressing each of these hazards and managing their risk promptly and effectively. Refer to any existing organisational procedures where appropriate.

Enter your answers in the following table:

Hazard/risk	Consequences (potential severity)	Likelihood (probability of occurrence)	Risk rating (high, medium or low)	Urgency level	Measures to address and manage the identified hazard/risk

Part C

Read the case study, then answer the questions that follow.

Case study

Practical Plastics Ltd produces plastic containers and has identified that back and shoulder injuries and respiratory infection issues are occurring in its production areas. Management asks the HSR, Janet, to identify all hazards in the production facility and take prompt action to address them. Janet also needs to consult with the workers on the recommended actions to control the risks in the environment.

A number of hazards are identified, including noise, a lack of understanding of emergency procedures and poor lighting in the walkways of the factory. However, Janet and the workers agree that manual handling and air recycling are the main issues. She reviews the requirements of the manual-handling regulations and the codes of practice for manual handling. She also reviews the air-quality statistics for the production area and compares these to industry benchmarks for plastic manufacturing facilities. She finds that the air quality in the facility is borderline acceptable; however, it is negatively influenced by the lack of airlock doors at the entry and exit to the manufacturing areas.

After identifying all of the manual-handling and air-quality issues, Janet meets with management to discuss these issues. They rank the concerns and issues from the most to the least hazardous. They record recommended actions to control the risks to worker health and safety, and decide that appropriate training will be provided to reduce the incidence of manual-handling injuries. A business case will be developed for installing airlock doors in the manufacturing facility, as this will provide a significant improvement in air quality for the work groups in the area. An action plan is documented with dates and the personnel responsible for the required actions. This is provided to management.

1. Has the organisation responded to the issues in the facility regarding manual handling and air quality adequately and appropriately? Why or why not?

2. What consultative process has been undertaken to resolve the issues in the work area? What aspects of the activity could be improved, if any?

3. Is the organisation taking appropriate action to ensure all of the hazards are addressed? Why or why not?

Topic 5

Implement and monitor WHS recording procedures

Under WHS legislation, employers must monitor the health and safety of workers. They are also required to keep information and records relating to the health and safety of their workers. Organisations may use specific forms to record the details of minor accidents and serious injuries. Forms are also available from sources such as WHS authorities.

Accurately completing and maintaining WHS records ensures the organisation can build valuable reference information in relation to managing WHS in the organisation and use this to identify hazards and risk controls for its work groups. This enhances its ability to maintain a healthy and safe workplace.

In this topic you will learn how to:

- 5A Accurately complete and maintain WHS records
- 5B Use WHS records to identify hazards and risk controls

5A Accurately complete and maintain WHS records

WHS records are a critical part of WHS management within an organisation and enable organisations to comply with WHS policies, procedures and legislation. Records assist in identifying the root cause of incidents, injuries and near misses; where changes have affected WHS; patterns and trends for WHS; changes in normal activities; and whether corrective action has resolved WHS issues.

WHS records cover a range of information about the organisation, its workplace and the workers in the organisation.

Below is a list of what WHS records may include.

Content of WHS records
<ul style="list-style-type: none"> • Any record of alcohol or drug use • Records as specified in Commonwealth and state or territory WHS legislation, regulations and codes of practice • Audit and inspection reports • Consultation; for example, HSC meetings and work team meeting agendas, including WHS items and actions • First-aid/medical post records • Hazardous chemicals registers • Induction, instruction and training • Manufacturer and supplier information, including dangerous goods storage lists • Plant and equipment maintenance and testing reports • Workers compensation and rehabilitation records • Workplace environmental monitoring records • Worker licencing and competency records • Records of consultation in the workplace

Complete WHS documents

Procedures should be in place for collecting, filing, storing, retrieving and disposing of WHS records. Many organisations use information systems linked to their human resource management processes to record, update and maintain WHS information about their workers. Other organisations implement specific WHS management systems to enable the completion of activities associated with WHS management in the workplace.

As a supervisor or frontline manager, you are involved in completing, filing and maintaining WHS records. It is crucial that all WHS documentation is completed accurately and promptly. You must be familiar with the processes, systems and tools used by your organisation to achieve this and ensure you comply with these requirements at all times.

Your organisation's WHS policy and procedures indicate what forms and systems are to be used to complete and record WHS documents.

Guidelines for completing WHS records and documents:

- Workplace incidents and near miss reports
- Risk assessment and risk control strategies
- Workers compensation forms
- Induction checklists
- Records of consultation
- Workplace hazards
- Accident reporting
- WHS training records
- Inspection reports

Notification of injury form

Minor injuries should be entered in an injury register and in the first-aid register. For more serious injuries that require time off work, the following should be completed:

- Notification of injury form to the relevant government authorities
- Entry in the injury register
- Entry in the first-aid register
- Workers compensation report form

The notification of injury form is to be completed and forwarded to the relevant government body in your state or territory. This is for serious incidents such as death, amputation and serious eye or head injuries, as well as near misses that could have resulted in death or injury.

The incident needs to be reported within a specified time frame, regardless of whether it involved a worker, a contractor or a visitor. The employer must also keep a copy for a specified minimum time.



Injury register

An injury register (hard copy or electronic) must be kept at all workplaces. Many organisations use an internal incident report form to meet the requirements of the injury register. This is acceptable as long as all required information is provided.

An injury register should record the following information.

Information to record in an injury register

- The injured person's name
- The injured person's job title or occupation
- The time and date of the injury or illness
- The exact location of the person when the injury or illness occurred
- How the injury or illness happened
- The nature of the injury or illness and the body parts affected
- The names of any witnesses
- The date of notification
- The name of the person entering the details in the register if not the injured person
- Acknowledgment from the employer that notification of the incident or injury has been received

Example: workplace incident report form

Here is an example of a workplace incident report form.

Workplace incident report	Report no:
Surname: _____	First name: _____
Address: _____	

Telephone no: _____	Mobile no: _____
Date of injury: _____	Time: _____
Details of injury: _____	

Bodily location of injury: _____	

Description of the circumstances of the incident: _____	

Description of incident by witness: _____	

Signature of witness: _____	
(please also print name) _____	Date: _____
When was the injury reported? _____	
Date: _____	Time: _____
Who was the injury reported to? _____	
Name: _____	Position: _____
Details of action by management: _____	

Date ceased work: _____	Time ceased work: _____
Total time lost (days, hours, minutes): _____	
Details of preventive measures taken (to be completed by HSR): _____	

Name: _____	
Signed: _____	Date: _____

First-aid register

A first-aid register documents any treatment provided to someone involved in a workplace incident.

The first-aid register includes:

- the name of the injured person
- the department or work area
- the date and time of the treatment
- the name of the person providing first aid
- a description of the injury
- what treatment was provided
- the first-aid items used.

Practice task 17

Locate and review a WHS incident report in your organisation, or ask your trainer for help to access one.

1. Where is the WHS incident report kept?

2. If you use this form, who do you submit it to?

3. Who would you have witness the report?

4. Is any other supporting documentation required?

5B

Use WHS records to identify hazards and risk controls

Systematic documentation of all WHS information enables records to be collated into reports, analysed for patterns and examined for statistical contributions. Information on a database can be extracted to highlight trends, such as the time of day most incidents occur or the number of incidents per department. This information can help prioritise the risk treatment plan and address areas of major concern. Negligent workers may be identified through data analysis and consistent illness in workers may indicate hidden hazards.

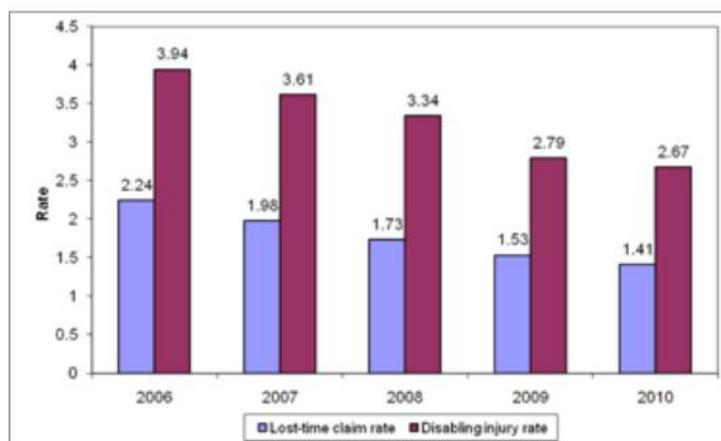
Analysis or review can be conducted on a regular basis or whenever new information is collected. If a worker suffers a health problem, worker health records can be analysed to determine whether other team members suffer from the same problem and could have been exposed to the same occupational hazard. The analysis of WHS records must be as objective as possible, so consider using external consultants, who may provide an impartial assessment of the organisational WHS processes.



Example: WHS performance statistics

The following graph is an example of how WHS statistics can be used to demonstrate organisational performance over a period of time.

In this example, the lost-time claim rate and the disabling injury rate for the five-year period are showing slight improvement year on year. This type of information can be used to confirm whether WHS actions and strategies are resulting in an improvement in the workplace. The information can also be used to highlight where additional or continued focus needs to occur in terms of hazard identification and risk control procedures.



Hazard reports and risk control records

The effectiveness of risk control measures must be monitored and reported. The reports from these reviews highlight any problems, which can then be acted on quickly. Hazard reports should also be reviewed to ensure suitable action has been taken to solve the problem.

Risk control records can be analysed to ascertain the effectiveness of risk control methods and used to determine appropriate risk control methods for other risks or hazards.

Risk control records can show:

- the risk controls in place
- measures taken in the past
- what resources (time, cost and equipment) risk control measures require
- who is involved in the risk treatment
- who authorises the risk treatment
- other possible risk control options
- relevant training undertaken by workers.

Analysis of WHS records

Analysis of WHS records should be conducted with the aim of improving WHS processes. Once concerns and issues have been raised, consult with appropriate people to determine what needs to be done to resolve the issue. Resolutions may be obvious. For instance, if incidents occur because workers are not wearing protective clothing, either protective clothing needs to be provided or workers need to be trained in its correct use and importance.

Some issues may require further investigation. For example, you may find incidents tend to occur around a certain time of the day. You need to find out what happens during this time that exposes workers to a hazard.

Analysis of WHS records can also be included in a continuous improvement process, as outlined below.

Consultation

Consultation is crucial during a continuous improvement process. For example, while it may be obvious that incidents occur because workers are not using protective clothing and equipment, simply providing them with the required equipment may not resolve the problem. Consultation with workers may reveal the protective equipment is unsuitable for the task or the people involved. You may need to investigate a different type of equipment.

Monitoring

Always follow your organisation's policies and procedures regarding making changes to improve the workplace, and consult your manager or an HSR before making changes that could affect the safety of your organisation's workers. Once changes are made, they must be monitored and evaluated to determine effectiveness, which means generating more records. Improvement is a continuous cycle.

Practice task 18

What WHS data is collected and analysed by your organisation or an organisation you are familiar with? In this table, set out what data is collected, the purpose of the data and how it is applied to your workplace.

What data is collected	Purpose of the data	How the data is applied

Summary

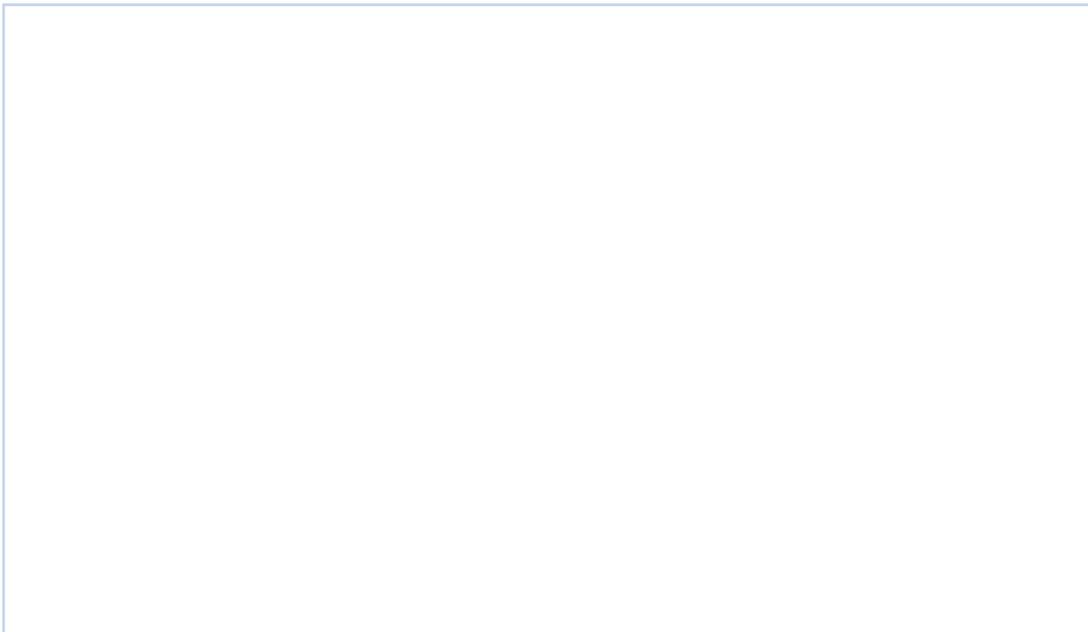
1. Under WHS legislation, employers must monitor the health and safety of workers. They are also required to keep information and records relating to the health and safety of their workers.
2. Accurately completing and maintaining WHS records ensures the organisation can build valuable reference information in relation to the management of WHS in the organisation.
3. Hazard reports should be reviewed to ensure suitable action has been taken to solve the problem. The reports from these reviews highlight any problems, which can then be acted on and resolved. Improvement is a continuous cycle.

Learning checkpoint 5 Implement and monitor WHS recording procedures

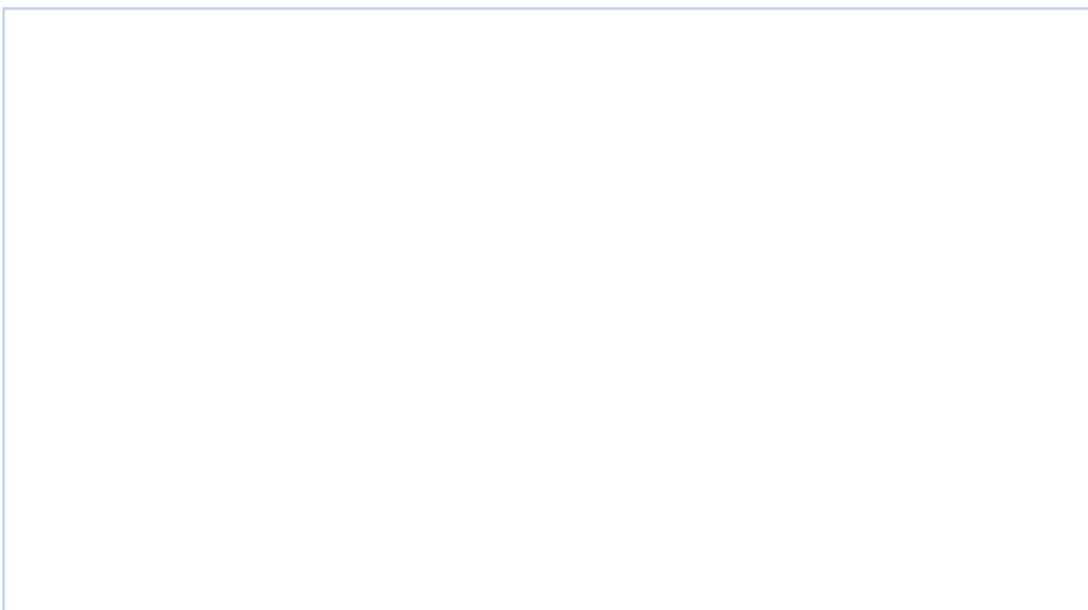
This learning checkpoint allows you to review your skills and knowledge in implementing and monitoring WHS recording procedures.

Part A

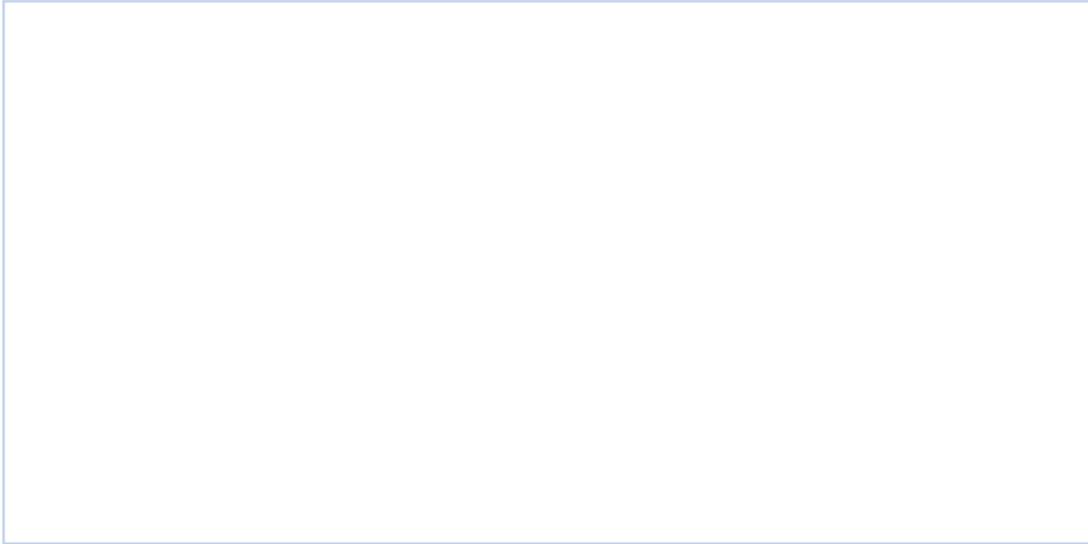
1. Under your state or territory WHS legislation, what WHS records must be collected and maintained?



2. List the forms, registers and records that may be used by an organisation to collect information on WHS incidents, injuries and near misses.



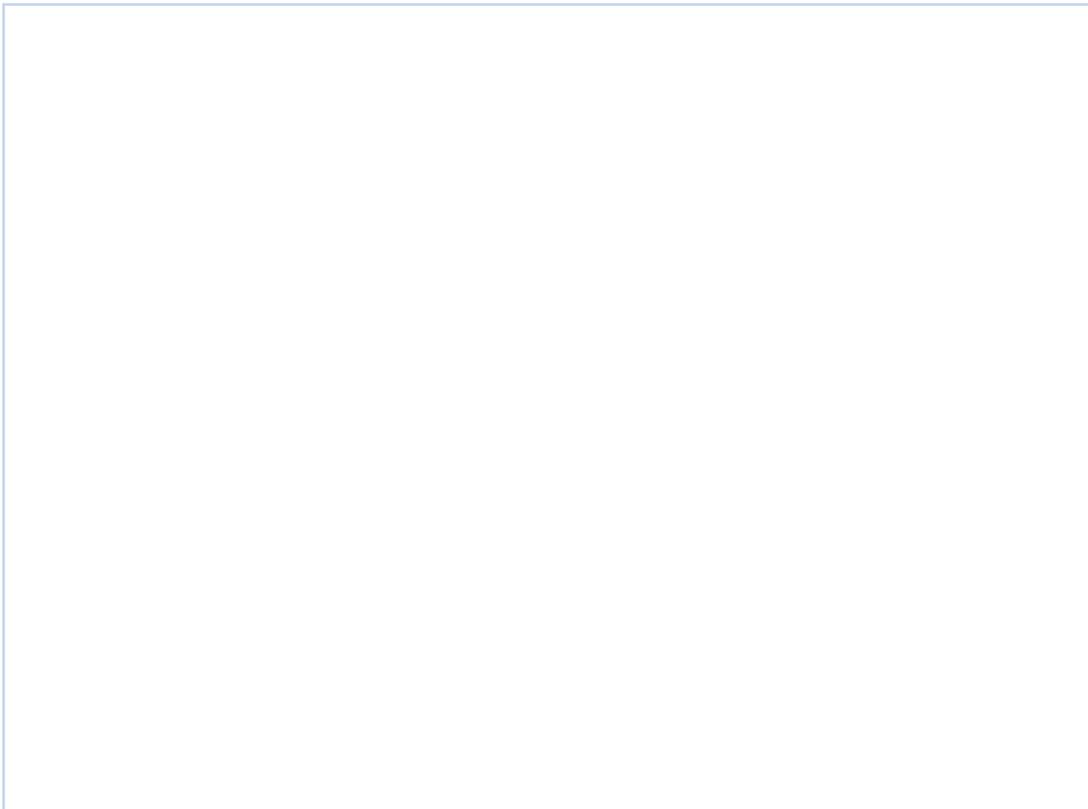
3. In addition to meeting legal requirements, how do collecting and analysing WHS information, records and statistics assist an organisation in improving future business performance?



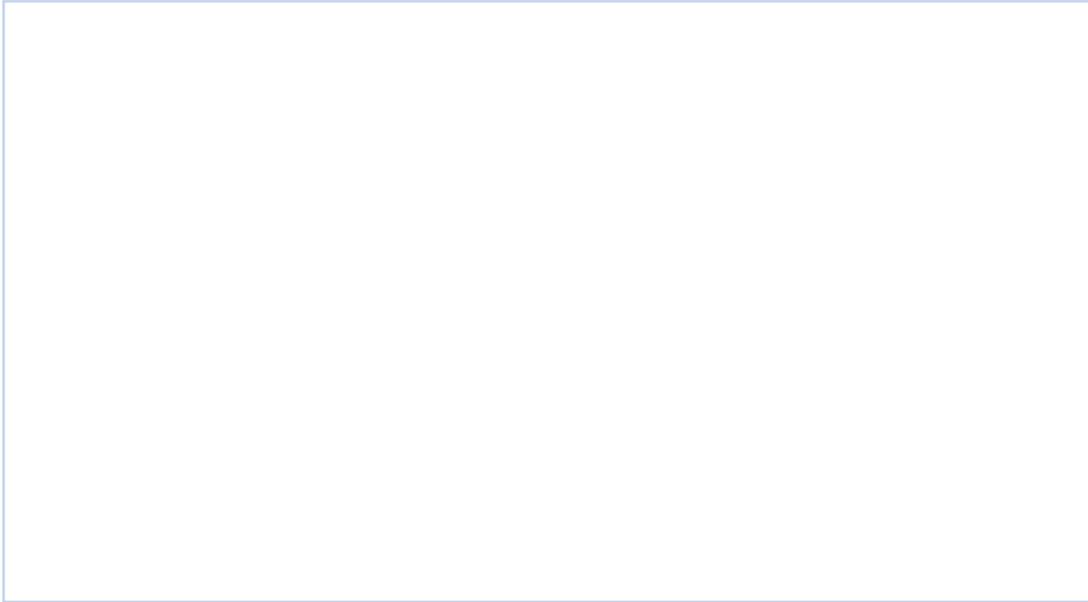
Part B

Refer to WHS data collected by your organisation or ask your trainer for help accessing WHS data.

1. Provide an example of WHS statistics that are used by managers and supervisors in your workplace.



2. Discuss how these statistics are used to ensure compliance with WHS obligations and how they are used to highlight areas requiring improvement in the management of WHS.



3. Outline how a manager can effectively monitor the organisation's WHS procedures and programs in their work area by referring to the WHS data that has been collected.

