

Student workbook

BSBWHS401

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

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**TAFE NSW would like to pay our respect and acknowledge Aboriginal and Torres Strait Islander Peoples as the Traditional Custodians of the Land, Rivers and Sea. We acknowledge and pay our respect to the Elders, both past and present of all Nations.**

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For queries please contact:

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|  | **Practice activity**  Learning activities are the tasks and exercises that assist you in gaining a clear understanding of the content in this workbook. It is important for you to undertake these activities, as they will enhance your learning.  Activities can be used to prepare you for assessments. Refer to the assessments before you commence so that you are aware which activities will assist you in completing your assessments. |
|  | **Collaboration**  Whether you discuss your learning in an online forum or in a face-to-face environment discussions allow you to create and consolidate new meaningful knowledge. |
|  | **Self-check**  A self-check is an activity that allows you to assess your own learning progress. It is an opportunity to determine the levels of your learning and to identify areas for improvement. |
|  | **Readings (Required and suggested)**  The required reading is referred to throughout this Student workbook. You will need the required text for readings and activities.  The suggested reading is quoted in the Student workbook, however you do not need a copy of this text to complete the learning. The suggested reading provides supplementary information that may assist you in completing the unit. |
|  | **Assessment task**  At different stages throughout the workbook after you have completed the readings and activities you will be prompted to complete one or more of your assessment tasks. |
|  | **Video**  Links to videos will be give you a deeper insight into subject matter discussed in this workbook. If you use the student workbook in a digital format you will be able to click on the link to the video. If you are working from a printed version you will need to look these up using the URL provided. |

Topic 1

Provide information   
to the work team   
about WHS   
policies and   
procedures

# Topic 1: Provide information to the work team about WHS policies and procedures

## Introduction

In this topic, you will be able to:

* Accurately explain to the work team relevant provisions of WHS Acts, regulations and codes of practice.
* Provide information about the organisation’s WHS policies, procedures and programs, and ensure it is readily accessible to and understandable by the work team.
* Regularly provide and clearly explain to the work team information about identified hazards and the outcomes of risk assessment and control.



Figure Team around a computer.

## Explain relevant provisions of WHS Acts, regulations and codes of practice

### WHS Law

The Workplace Health and Safety (WHS) legislation replaced the Occupational Health and Safety (OHS) legislation in 2011.

This legislation provides employees across Australia with certain guarantees and standards to ensure they remain safe in the workplace at all times.

You will need to make it clear that WHS law exists to protect employees, clients, customers, and anyone else that enters the workplace.

WHS legislation stipulates that employers must provide their staff with:

* **Safe premises**
  + For example, think about the work car park and how pedestrians and cars use it, is it safe?
* **Safe machinery and materials**
  + For example, has electrical equipment been tested and approved for use?
* **Safe systems of work**
  + For example, is there a limit to how many employees can be in workspaces at any one time?
* **Information, instruction, training and supervision**
  + For example, are all employees given proper training in safety procedures in your organisation?
* **A suitable working environment and facilities**
  + For example, are temperatures in the workplace safe for employees?

### Explaining WHS law to the work team

It is important to explain WHS laws and requirements accurately and clearly to the whole work team, preferably before they start working in your organisation. The best way to do this is to give inductions to individual employees as they begin working in your organisation, and then to arrange regular team meetings to remind and update workers about WHS provisions and requirements.

You will need to explain how WHS laws affect workers according to their job role and the industry which the organisation is a part of. You will find that WHS laws offer a broad spectrum of protection for employees across a range of industries and workplaces.

You will need to use specific examples. For example, when WHS law stipulates that the working environment and facilities should be suitable, you will need to make this relevant to your workplace. You may say, for example, that packaging needs to be cleared from pathways whenever it is noticed, to make sure walkways are safe for all employees.

Sources and areas of law that you may need to explain include:

* Commonwealth and territory WHS laws.
* Common law duties to meet the general duty of care requirements.
* WHS regulatory requirements for the effective management of hazards.
* WHS requirements for establishing consultation arrangements, including those for health and safety representatives and health and safety committees.
* WHS legislative and regulatory requirements for providing information and training, including:
  + training in safe operating procedures
  + procedures for workplace hazards
  + hazard identification
  + risk assessment and risk control
  + emergency and evacuation procedures.
* WHS legislative, regulatory and other requirements for the maintenance and confidentiality of records of occupational injury and disease.

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## Activity 1.1: WHS legislation

According to WHS legislation, what must employers provide their staff with while in the workplace? Give at least four examples.

## Making WHS information accessible

### Identifying relevant organisational information

It is important that everyone in the workplace, understand what organisational policies, procedures, rules, and programs exist to meet and adhere to WHS legal regulations. Employees will need to know this information to keep themselves safe, as well as to ensure the safety of their colleagues and customers.

You will need to be able to identify all WHS information that is relevant to the team before deciding how to share or communicate it.

Organisational information relevant to WHS may include:

* **Health and safety warnings**
  + For example, you may need to communicate when wet floor signs need to be used and how this should be done.
* **Hazardous material warnings**
  + You may need to identify policy and procedures relating to:
    - the acquisition of hazardous materials
    - the use of hazardous materials
    - the storage of hazardous materials
    - the disposal of hazardous materials.
* **Common risks**
  + This may involve common risks that workers need to avoid in the workplace, such as operating a piece of machinery without supervision.
* **Alcohol and other drug intoxication**
  + This may include information about the dangers of turning up to work intoxicated, as well as the repercussion if an employee does so.
* **Emergency and evacuation procedures**
  + Information on the location of evacuation points and fire doors around the workplace.
* **Family-friendly environment**
  + Information on policies and procedures for making the work environment safe for children and the elderly.
* **First aid provision and medical treatment**
  + Information on where first aid kits are located in the workplace.
* **Hazard identification and reporting procedures**
  + Information on how hazards are reported so that they can be flagged by managers and supervisors.
* **Implementation of risk controls**
  + Information on how to implement electrical safety controls.
* **Maintenance and use of equipment**
  + Information on how often equipment needs to be assessed by a maintenance professional.
* **Incident investigation**
  + Information on who should investigate incidents and how that should be done.
* **Site access and parking**
  + Information on parking in pedestrian areas around the workplace.
* **Transportation and storage of dangerous goods**
  + Information on how to stack boxes safely in storage rooms.
* **Use and care of personal protective equipment (PPE)**
  + Information on what PPE to wear when operating specific machinery and equipment.
* **WHS arrangements for customers, clients, and external staff**
  + Information on the wearing of visitor badges for all external workers.
* **WHS audits and inspections**
  + Information on how to clean and tidy for an audit.

### Disseminating and communicating information

When you have identified all WHS-related organisational information that needs to be communicated to employees, you will need to establish the best method of communication. The end result should be that all employees are clear and confident about what their organisation requires of them to maintain safety standards.

How you communicate information will depend on the size of the workforce and how it is organised. For example, for a large organisation, the best method would be to use a variety of methods, such as combining a team meeting with information by email. On the other hand, if you work for a small organisation, you may simply have to arrange a briefing to alert all staff to safety information.

You may choose to communicate WHS information via:

* email
* newsletters
* meetings and briefings
* signage
* one-to-one meetings and verbal reminders
* handbooks
* codes of practice
* policy and procedure documents
* regulatory and standards documents.

### Displaying information

You will need to make sure that information is displayed clearly, to inform and act as a reminder to all employees. For example, you may have to make sure there is signage around the workplace that reminds employees to wear a hard hat and hi-vis jacket at all times while in the work environment.

You will need to:

* Make sure that warning signs are displayed so that they are easily visible to all employees and visitors.
* Make sure policy and procedure information are available so it can be readily accessed by all employees at any time.
* Display safety information online and in paper format.
* Make sure information appears in the appropriate structure.
* Ensure that all information uses clear and easy-to-understand language.
* Make sure there are warnings in place for visually impaired employees and visitors.

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## Activity 1.2: Policies and procedures

Give examples of at least five methods that you can use to disseminate or communicate WHS information to the work team. What are the advantages and disadvantages of each one?

## Identifying hazards

### Identifying hazards in the workplace

It is imperative that you identify all hazards in your workplace so that all employees, as well as all visitors and customers, can be informed of hazards which may affect them.

Common hazards include:

* electrical hazards
* slip hazards
* allergy hazards
* chemical dangers
* blocked fire exits
* hazards from falling objects
* traffic risks around the workplace.

#### How to identify hazards

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

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

Identifying hazards can be done by:

* Examining Commonwealth and state or territory WHS Acts, regulations and codes of practice. This will help inform you about the areas where hazards usually occur.
* Checking equipment and machinery before and during work. Equipment and machinery can often cause hazards, especially if they are not checked and maintained regularly.
* Consulting work team members. Holding meetings with team members from every level of the hierarchical structure can help bring safety problems to your attention.
* Housekeeping, regular cleaning and maintenance can often reveal safety issues.
* Reviewing health and safety records, including hazard reports, hazardous substances and dangerous goods registers, and injury records.
* WHS audits and review of audit reports results from audits can reveal high-risk areas of your organisation.

#### Informing the team

When you have identified hazards in the workplace, you will need to inform the work team and keep them updated at regular intervals. Informing colleagues clearly and in detail will help them to minimise the risks that hazards pose.

To inform the team, you should:

* Hold regular meetings and briefings.
* Send emails.
* Make phone calls.
* Design and erect warning signs.
* Include information in newsletters.

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## Activity 1.3: Identification

How can you identify hazards in your workplace?

Think about the documents and personnel available to you, and give at least three examples of identification methods you could use.

## Activity 1.4: Identification practice

Visit Safe Work NSW website and go to the “[Free Stuff](https://www.safetystartswithyou.nsw.gov.au/freestuff2)” section of the website.

Scroll to the bottom of the page and read about the “Safe App”. Download the App onto your device and create a work team with your classmates.

Take a walk around your campus or workplace and identify hazards. See if you can follow the steps in the app to resolve any issues or hazards you identify.

Topic 2

Implement and   
monitor participation arrangements   
for managing   
WHS

# Topic 2: Implement and monitor participation arrangements for managing WHS

## Introduction

In this topic, you will be able to:

* Communicate to workplace parties the importance of effective consultation mechanisms in managing health and safety risks in the workplace.
* Apply consultation procedures to facilitate the participation of the work team in managing work area hazards.
* Promptly deal with issues raised through consultation, according to organisational consultation procedures and WHS legislative and regulatory requirements.
* Promptly record and communicate to the work team the outcomes of consultation over WHS issues.

## Effective consultation to manage health and safety risks

### The importance of consultation

Proper management of health and safety risks will require you and your colleagues to consult with others who have specialised knowledge, skills, or experience.

For example, new employees will need to know who to seek assistance from when wanting to learn how to use a piece of equipment or machinery safely. They may need to consult with other staff who have knowledge of how to operate the equipment safely, including the protective gear required and the risks to look out for.

**Remember:** working as a team using all the knowledge and skills available to you, is the safest way of operating.

#### Consulting with the appropriate personnel

The following personnel will hold a number of different skills and specialise in different knowledge areas. They will also have a unique perspective on workplace safety, and it is important that you and your colleagues can communicate effectively to learn things from each other.

You may need to seek help from:

* **Managers**
  + Managers will generally have a lot of experience and will usually have experienced and learned from safety issues in the past.
* **Supervisors**
  + Supervisors should have a good knowledge of current activity in their organisation and should be well placed to spot potential hazards.
* **Head of the department** 
  + A head of the department should have a very good idea of all hazards and risks which are specific to their area and know who to call on for any areas where they lack specific knowledge.
* **IT experts**
  + IT experts may need to be consulted if you need to protect information or privacy of customers.
* **Engineers and machinery experts**
  + Engineers and machinery experts will have a good knowledge of the risks, hazards, and WHS requirements when using machinery.
* **Maintenance employees and cleaners**
  + These personnel are well-placed to identify problem areas concerning cleanliness and upkeep, which can cause hazards and risks, they may also notice areas of wear and tear which are likely to become a hazard in the near future.
* **Customer service personnel**
  + Customer service personnel will often understand the risks and hazards which affect customers specifically.

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## Activity 2.1: Consultation

Refer to the [Plan2go Org Chart](http://plan2go.nctafe.edu.au/assets/document-library/Crew-Folders/People-and-Culture-Crew/Organisational/org-chart.pdf) (or that of the virtual organisation you are using in your studies), and you are filling in for Tracey Holden who is on maternity leave for six months.

Name four personnel (including their position) who you can consult to help manage health and safety risks in your workplace. Briefly explain how each person (or position) can assist.

## Help the work team manage work area hazards

### Consultation procedures

It is vital that you can consult with other staff in your organisation to help your work team in managing hazards.

#### Health and safety representative involvement

You will need to make sure your organisation elects health and safety representatives, whose job it is to assess, monitor, and help manage workplace hazards. These representatives will usually have other roles in the organisation, and they should be representative of different areas, departments, and specialists within the business.

You will need to make sure that these representatives are involved in all WHS planning meetings. They will be able to offer insight about risks and hazards from the perspective of the average employee.

#### Early response

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

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

* make suggestions
* make requests
* raise concerns
* report on safety problems and hazards.

#### Regular team meetings

Regular team meetings—both formal and informal—will allow the work team to get involved in WHS management. They should be encouraged to make suggestions and raise problems and concerns which relate to the safety of workers, customers, and anyone else who steps foot in the workplace.

Team meetings should:

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

#### Health and safety committees

If your organisation is large enough, you should consider setting up a health and safety committee to monitor, discuss and solve hazards and risks. Your health and safety representatives should be on this committee but can be supported by other team members. Members of the committee should include employees from all areas of the organisation, and at all levels of the hierarchy. This committee should meet regularly to discuss specific hazards and how to deal with them.

#### Individual performance management

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

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## Activity 2.2: Work area hazards

In pairs or small groups, discuss how regular team meetings can help in managing work area hazards? Summarise your discussion below.

## Deal with WHS issues raised through consultation

### Dealing with issues

Following the consultation phase, which should have highlighted any existing health and safety issues, you should be in a position to implement a strategy to deal with problems.

The speed at which you find and implement solutions to health and safety issues is extremely important. While risks and hazards remain, your colleagues and other visitors are put in danger, so you and your team should always try to act promptly to remove a hazard.

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

Dealing with issues will require you to:

* Assess all health and safety concerns.
* Prioritise health and safety issues in terms of the danger they pose to colleagues and visitors.
* Consider options for minimising risks or removing hazards altogether.
* Discuss all options with relevant colleagues and make a decision after considering the evidence.
* Look ahead to determine whether problems are likely to remain, or if new issues are likely to arise.

### Adhering to WHS requirements

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

For example, you will need to make sure that:

* Workers are given breaks at regular intervals.
* Workers are not asked to carry out tasks that are dangerous or where there are high risks.
* Personal protective gear is supplied and readily available.
* Badges are available for all visitors.
* There is a suitable storage space for stock.
* Site access and parking are suitable for the number of employees.
* All incidents are investigated as soon as possible.
* There are enough first aid provisions on site.
* Fire doors and exits are kept clear.
* Hazardous materials are stored according to specifications.

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## Activity 2.3: WHS workplace issues

Give at least five examples of WHS regulatory requirements for dealing with health and safety issues in your workplace.

## Record and share outcomes of consultation over WHS issues

### Recording agreed actions and strategies

You should always look to record any decisions made on WHS strategies, which have resulted from the consultation processes.

Not only will this allow employees to track decisions and actions following their involvement (if records are made public), but it will also act as a reference point so that all employees involved with WHS are sure about the way forward.

You should look to record:

* The type of issue and its severity.
* How it was brought to your attention, for example, was it brought to your attention by employees from a certain department?
* Which members of your team are involved in planning to remove risks and hazards?
* The options considered.
* Any strategic decisions made be specific about any changes made. For example, this might include the way someone carries out their job, or it might affect the type of equipment that is used.
* The time period for the agreed changes to take effect.

### Communicating the outcomes of the consultation process

If the consultation process is to be taken seriously in the future, and if all employees are to feel involved in the management of workplace health and safety, then you will need to clearly communicate what action has been taken as a result of it.

You should look to make your work as transparent as possible, allowing all employees to see and understand how their contributions have affected WHS management in your organisation.

You can communicate the outcomes of the consultation process by:

* Holding meetings.
* Including information in a newsletter or equivalent.
* Making records public.
* Directly verbalising outcomes to specific staff that it affects.
* Erecting signage or notices.

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|  | Collaboration |

## Activity 2.4: Outcomes

In small groups discuss a WHS issue which might be raised through consultation relevant to your industry.

What information will you need to record concerning WHS consultation outcomes?

How will you share that information with the rest of the organisation?

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## Video: Consultation at work - The basics

Watch “[Consultation @ Work – The basics](https://www.youtube.com/watch?v=7OaLbST0SiI)” (by Safework NSW) on YouTube for a summary of how to consult about WHS and how to find out more about the process.

Duration 04:40.

Topic 3

Implement and   
monitor organisational procedures for   
providing   
WHS training

# Topic 3: Implement and monitor organisational procedures for providing WHS training

## Introduction

In this topic, you will be able to:

* Identify WHS training needs according to organisational requirements and WHS legislative and regulatory requirements.
* Make arrangements to meet WHS training needs of team members in consultation with relevant individuals.
* Provide workplace learning opportunities and coaching and mentoring assistance to facilitate team and individual achievement of identified WHS training needs.
* Identify and report to management the costs associated with providing training for a work team, for inclusion in financial and management plans.

## Determine WHS training needs

### Identifying WHS training needs

Your organisation’s training needs will be highly specific to your workplace and work team, and you will need to be able to identify those needs as soon as they arise.

Be aware that new training needs will regularly emerge, so it is vital that you remain alert to areas of WHS management that are not being controlled as effectively as they could be.

#### Focussing on weaknesses

Identifying WHS training needs will require you to focus on weaknesses in your organisation, and this could be related to how your organisation is run, the knowledge and skill levels of employees, or the equipment and processes that are used.

For example, you may identify that employees in a particular department have not been formally trained on how to use machinery safely. You may notice, for example, that many of them operate machinery without using the personal protective gear available to them.

Your organisation may require:

* Extra one-to-one coaching.
* More briefings and meetings where issues can be raised.
* Equipment and machinery training.
* Training on how to what protective gear to wear and when.
* Training on walkways and safe pedestrian areas.
* Training on how to warn customers about hazards, such as wet floors.

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## Activity 3.1: Training needs

Familiarise yourself with the Virtual Organisation relevant to your industry area, if you don’t have one use [Plan2go](http://plan2go.nctafe.edu.au/assets/document-library/Crew-Folders/People-and-Culture-Crew/Organisational/org-chart.pdf). Discuss in small groups some examples of training needs relevant to that organisation. List four training needs below.

## Meet WHS training needs of team members

### Consulting with relevant individuals

The best way to identify what the training needs of individual team members are is to meet with them and discuss what they feel they need to receive training on. Each member will have a different skill set and area of knowledge, so you will need to pinpoint exactly where they lack the knowledge and abilities to keep themselves and others safe and healthy at work.

The best way to gather information on training needs is to meet with each individual member of the team. However, this won’t be practical in a larger organisation. In this case, you may choose to hold small meetings with groups of employees from different departments, in order to understand which areas they may still need training on.

Depending on the type of organisation you work in, and on the hierarchy that exists within it, you may choose to gather information on training needs from senior members of personnel or those who have an overview of activities in the workplace. Some of these personnel are outlined below.

You may also meet and gain important information from:

* **Managers**
  + Managers can offer a good overview of which areas have experienced the most accidents and WHS concerns over a period of time, this may indicate that more training is needed in a particular area.
* **Supervisors**
  + Like managers, supervisors will have a good overview of work activities, but will also have high levels of contact with employees, and this may sometimes make them more likely to understand when and where extra WHS training is required.
* **Heads of department**
  + Heads of department should have a good understanding of any WHS training requirements in their specific area of the organisation.
* **Engineers and maintenance employees**
  + Specialist personnel will have a good idea of any equipment and machinery breakdowns, as well as any accidents or near misses that have occurred as a result of using the equipment.

### Making arrangements to meet WHS training needs

It is a good idea to work with employees and senior-level personnel when arranging WHS training, as it is likely that they will know what type of training needs to be undertaken, how much training is required, and when it needs to be carried out.

For example, you may need to consult staff members and managers to find out when an employee has a quiet period in their schedule. You will then be able to use this information to arrange a training block over that period.

You will need to be aware of:

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

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## Activity 3.2: WHS training

In your small group, discuss the following questions. Summarise your discussion in the space below.

When arranging WHS training, what factors will you need to be aware of? Think about specific training needs and differences between workers.

## Provide workplace learning

### Providing workplace learning opportunities

Once you have consulted the appropriate personnel, you will be able to identify appropriate workplace learning opportunities for employees.

These opportunities may be internal or external, depending on facilities and teaching staff available within your organisation. The opportunities available will also depend on your organisation’s budget for training employees in WHS areas.

Workplace opportunities may include:

* External WHS training courses.
* Mentorship schemes.
* Further qualifications.
* Online courses.
* Fast track programs.



Figure Learning sign.

### Coaching and mentoring

You should pay attention to how you provide coaching and mentorship to employees to meet WHS training needs.

You may have an involvement in the training process, or you may delegate training tasks to other internal personnel, or external training providers. This will be based on organisational policies and procedures.

You may need to:

* Provide one-to-one training for employees that are not meeting WHS requirements
  + demonstrate how activities, tasks, and procedures should be carried out
  + provide verbal instructions and advice
  + provide appropriate learning materials.
* Provide group training
  + again, demonstration, verbal instructions, and learning materials can be used for training.
* Organise for the less experienced employees to be mentored by more experienced employees
  + teaming employees up can help less experienced employees to be guided in all aspects of WHS
  + when shadowing a more experienced member of the work team, an employee can pick up advice and tips as they work on tasks.

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## Activity 3.3: Workplace learning

Continue your discussion from Activity 3.2, list five examples of workplace learning opportunities that your virtual organisation could offer.

## Determine the costs associated with providing training

### Identifying the costs of training

As mentioned in the previous section, your options for providing training will be limited by the budget set for WHS training. You will need to spend time identifying the costs of training to make sure it is financially viable, although this is not a good reason for non-delivery of essential training. Identifying costs will also help to make you aware of what is being spent in which areas, which can help you to improve efficiency in the long run.

You should keep in mind that, although training can be financially costly, it is necessary to meet and maintain WHS standards across the organisation.

Common areas of cost may include:

* **Training staff costs**
  + Whether training staff are internal or external, do they need to be compensated for their efforts?
* **Training area and facility costs**
  + For example, you may have to hire a facility in which to train employees.
* **Learning material costs**
  + For example, textbooks or printing costs, disposables used in training such as face masks when learning CPR in First Aid courses.
* **Reduced production capacity while employees are training** 
  + Taking employees away from their usual tasks will often reduce production capacity, usually meaning that overall profits could be reduced. This may be offset by increased productivity due to fewer staff days off work sick or injured.
* **Equipment costs**
  + For example, you may have to provide computers or tablets for training purposes.
* **External training course costs**
  + External training courses will reduce the time needed to organise and run training, but they will usually cost more than in-house training.

### Reporting the costs of training

It is important that you report the costs of training so that management can see what is being spent on WHS training in specific periods. Supplying accurate financial figures can help managers create plans to support regular WHS training across departments.

You may report cost information by:

* Handing over financial reports at regular meetings.
* Verbally reporting on training costs at regular meetings.
* Updating a central financial database system which can be checked by managers at any point.

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## Activity 3.4: Training costs

Continue your discussion from Activity 3.3, list five examples of costs associated with providing training for employees in your workplace.

Topic 4

Implement and monitor   
procedures for   
identifying   
hazards and   
controlling risks

# Topic 4: Implement and monitor procedures for identifying hazards and controlling risks

## Introduction

In this topic, you will be able to:

* Identify and report on hazards in work area according to WHS policies and procedures and WHS legislative and regulatory requirements.
* Promptly action team member hazard reports according to organisational procedures and WHS legislative and regulatory requirements.
* Implement procedures to control risks using the hierarchy of control, according to organisational and WHS legislative requirements.
* Identify and report inadequacies in existing risk controls according to the hierarchy of control and WHS legislative requirements.
* Monitor outcomes of reports on inadequacies, where appropriate, to ensure a prompt organisational response.

## Identify and report on hazards

### Identifying workplace hazards

You will need to identify hazards as soon as they arise so that risks can be appropriately managed.

The hazards that you face will largely depend on the type of industry you are in, as well as your organisation’s workplace, procedures, and common tasks.

**Remember:** you will need to stay alert to hazards, making regular checks. Hazards can arise at any time, posing a serious risk to you, your colleagues, clients, and customers.

Hazards may include:

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

### Reporting on workplace hazards

It is essential that you report on hazards as soon as they are identified, as the safety of others relies on the quick and accurate communication of all risks.

When you make a report to the appropriate member of personnel, then action can be taken.

The way you report on hazards will often depend on the severity of the hazard and the risk that it poses. Of course, more serious hazards will need to be dealt with immediately, so that action can be taken to remove any danger.

You may report on hazards by:

* Telling managers directly
  + this may need to be done when a very serious hazard is identified, and immediate action needs to be taken.
* Telling groups of employees directly
  + usually used in conjunction with other reporting methods, warning employees about hazards is an effective way of minimising risks
  + you should tell them what the hazard is, what risks it poses, where it is located, and what is being done about it.
* Making an entry in a paper-based logbook
  + you may use this method with minor hazards
  + logbooks must be checked regularly by senior personnel if this method is to work.
* Making an entry in a centralised computer system
  + usually, this method will allow all relevant employees to see information on hazards when they log in to the system.

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## Activity 4.1: Workplace hazards

Working in small groups, consider a typical workplace in the industry for which you are training. Discuss the common types of workplace hazards found in that workplace.

List at least five examples of common workplace hazards that you will need to be aware of.

## Promptly action team member hazard reports

### Taking action on reported hazards

There will be times when employees make hazard reports, and you will need to be able to react quickly and appropriately to these reports. Your aim is to eliminate all risks and hazards as quickly as possible; if this cannot be done, then you will need to minimise these threats as much as possible.

You will need to:

* React quickly after the hazard is reported
  + this will decrease the chances of hazards affecting workers and visitors further.
* Take appropriate action to remove the hazard.
* Take action to minimise all risks.
* Take action to prevent the same problem happening in the future.

#### Working with employees

You should always aim to work with the employees who identified the problem and made the report. Your colleagues will be able to provide you with vital information about the nature of the hazard, which will increase your chances of being able to deal with it effectively.

Employees should be able will be able to tell you:

* where the hazard is located
* when the hazard arose
* how many times it has been a problem
* whether it has negatively affected anyone or caused injury.

### Appropriate action

The action you take must be appropriate for the type and severity of the hazard, which is identified. Your organisation may have specific policies and procedures about the type of action that needs to be taken in certain situations, and you will be required to follow this exactly.

Having a good understanding of WHS legislation will help you identify the appropriate action to be taken in any given situation.

For example, if an employee has identified that a machine is dangerous to use and that it has caused an injury, then you must immediately stop using this machine to remove further risk. The machine needs to be deactivated or clearly labelled as unsafe for use, so no one uses it in error. You will then need to arrange for a qualified maintenance professional to test the machinery under controlled conditions. It should not be used again until it is properly tested and fit for purpose.

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## Activity 4.2: Hazard reports

In your small groups discuss, what sequence of actions you need to complete to comply with WHS legislative and regulatory requirements when a hazard has been reported.

Create a checklist which would help you follow this sequence in a future workplace.

## Using the hierarchy of control

### Implementing procedures

It is important that you can implement effective procedures to control risks in the workplace.

Control procedures will vary in terms of complexity, cost, and effectiveness, so you will need to know what combination of strategies is most appropriate for your workplace. This will be based on the type of risks you are trying to control and their severity, as well as the size of your organisation and your budget for control procedures.

For example, if you have identified that a certain cleaning chemical you use may have long-term health impacts, you may need to swap this cleaning product/material for another. The substitute must be effective, financially viable and, above all, it must be safe.

Procedures to control risks may include:

* Consultation with workers and their representatives.
* Redesign of job roles and processes
  + for example, introducing mechanical handling equipment
  + for example, re-scheduling.
* Using substitutions
  + for example, substituting risky elements.
* Redesign of workplace
  + for example, raising or lowering work platforms.
* Removing the cause of hazards and risks
  + for example, introducing policies to remove stored goods away from fire exits.

### The hierarchy of control

The hierarchy of control is a system used in WHS across most industries, where the procedures used to reduce risks and eliminate hazards are ranked from most effective to least effective. Using a ranking system can help you to choose the most effective strategies available to remove risks and hazards.

Once a risk or hazard has been identified and recorded, workers and PCBUs must work to eliminate the hazard. If they cannot remove the risk or hazard completely, then they must take action to reduce the level of risk as far as is reasonably practicable.

Hazards should be eliminated. If this is not possible, then you should control the hazard or reduce the risk to a minimum.

### Eliminate

1. Eliminate the hazard by removing it completely from the workplace. For example, safely dispose of a broken machine such as an electric stapler.

### Substitute

1. Substitute the hazard with a safer alternative. For example, you could replace non-adjustable chairs with ergonomically designed adjustable chairs.

### Isolate

1. Isolate the hazard, so a person is not exposed to the risk. For example, place ‘Caution: Do not enter’ tape across the doorway of a room that contains a hazard.

### Engineer

1. Engineer against the hazard. For example, replace a damaged cable with a new one.

### Apply administrative controls

1. Reduce the hazard using administrative controls. This means using procedures and processes to keep people in the workplace safe by providing training, supervision and procedures to prevent hazards from developing in the first place.

### PPE

1. Use personal protective equipment (PPE). For example, require that people wear non-slip footwear in areas with slippery floors.

The most common PPE are:

* **Head protection**—safety helmets, caps, hats, hoods.
* **Eye protection**—safety spectacles, goggles, face shields.
* **Hearing protection**—ear-muffs, ear-plugs, disposable wool.
* **Body protection**—aprons (leather, cotton, PVC, rubber), safety harnesses.
* **Hand protection**—gloves (chrome, leather, PVC, rubber, vinyl-impregnated, cotton interlock, loop pile, stainless steel mesh — wrist or elbow length), various types of barrier creams.
* **Foot protection**—safety shoes, boots (with steel toe-cap, steel inner sole — ankle or knee-length).
* **Respiratory protection**—respirators (single or twin cartridge, canister, disposable, airline types—either half or full-face coverage), hoods, self-contained breathing apparatus.
* **Welding protection**—goggles, helmets, hand shields, screens, aprons, coats, leggings, spats, gloves.



Figure A site worker in PPE.

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## Video: Framework of risk control measures

Watch [Surf Life Saving Australia’s – Framework of Risk Control Measures](https://www.youtube.com/watch?v=joNzxW3OB0E&t=188s) for some examples of how the hierarchy of control can be applied in an environment which has many inherent risks.

Duration 04:58.

Once you have watched this, complete Activity 4.3.

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## Activity 4.3: Hierarchy of control

Refer to the hazards you identified in Activity 4.1.

Explain how you could manage each hazard using the hierarchy of control.

## Inadequacies in existing risk controls

### Identifying inadequate risk controls

The hierarchy of control should identify what the least effective risk control procedures are in your organisation; you will then have to decide if any of these can be classed as inadequate.

You will need to highlight inadequate risk controls so that they can be removed and substituted with more effective strategies.

For example, if you identify that wearing personal protective equipment is not an effective strategy for reducing risk while using machinery, then you will need to add more layers of protection. This may take the form of new machinery, for example.

Inadequate risk controls could be:

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

### Reporting inadequate risk controls

It is important that you report all risk control procedures which you deem to be inadequate so that management and decision-making personnel can remove them or make the necessary adjustments.

For example, if you identify risk controls that are outdated and that fail to remove dangers in the workplace, then you will need to report this verbally, as soon as possible. The more time you take to report inadequate risk controls, the higher the chance that someone will suffer an injury or illness.

You will need to:

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

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## Activity 4.4: Risk controls

In small groups, discuss examples of inadequate risk controls. List at least 5 which are relevant to your industry and explain how each poses a danger to workers, customers, and visitors.

## Monitor outcomes of reports on inadequacies

### Monitoring outcomes of reports

It may be part of your role to monitor the outcomes of reports on inadequacy and to make sure action is taken, and solutions are found.

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

You will need to:

* Be aware of all reports made. You will need to be aware of reports made in all departments and areas of the organisation.
* Know how to track reports on inadequacies, this may involve asking members of personnel or regularly checking reports.
* Understand who is responsible for taking action on reported inadequacies.
* Find out what is being done to combat inadequacies.
* Establish timeframes for a solution to be reached.
* Take action yourself if this is your responsibility.

### Pushing for a resolution

If you recognise that action is not being taken, then you may need to take responsibility for finding a solution. This may mean gently reminding senior personnel about reports, or introducing new risk control procedures yourself.

For example, if a faulty piece of machinery has caused an injury to one of your colleagues, but no action has been taken since it was reported to senior personnel, then you may need to arrange for maintenance professionals to fix the equipment. You may need to seek confirmation from a member of senior personnel before you take action.

You may need to:

* Enquire about progress on reports.
* Encourage other employees to take action on inadequacies.
* Emphasise the risks and dangers involved if nothing is done.
* Take responsibility for finding a solution.

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## Activity 4.5: Monitor outcomes

In small groups, discuss how you can push for a solution on risk control inadequacy reports? Give at least three examples of practical steps you can take.

Topic 5

Implement and monitor organisational   
procedures for   
maintaining   
WHS records

# Topic 5: Implement and monitor organisational procedures for maintaining WHS records

## Introduction

In this topic, you will be able to:

* Accurately complete and maintain WHS records of incidents of occupational injury and disease in work area, according to WHS policies, procedures and legislative requirements.
* Use aggregate information and data from work area records to identify hazards and monitor risk control procedures in the work area.

## Complete and maintain WHS records

### Records of incidents, injuries, and illnesses

You will need to complete reports on all incidents, injuries, and illnesses that occur in your workplace, however minor they are.

Completing reports ensures that all risks and hazards are identified and that action is taken to avoid the same incidents in the future.

Reports may come in a variety of forms, depending on the type of incident, injury, or illness, and some of these are outlined below.

WHS records may include:

* Alcohol or drug use records.
* Audit and inspection reports.
* Consultation reports, for example, minutes of meetings of health and safety committees or work team meeting agendas, which include WHS items and actions.
* First aid/medical post records.
* Hazardous chemicals register.
* Manufacturer and supplier information, including dangerous goods storage lists.
* Equipment maintenance and testing reports.
* Workers’ rehabilitation records.

### Completing and maintaining records

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

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

You will need to record:

* The type of injury or illness.
* The severity of the injury or illness.
* The cause of the injury or illness.
* The name and details of the person that the illness or injury affected.
* Compensation claims.
* Any action taken to remove risks and protect others from similar hazards.

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| Practice activity icon | Practice activity |

## Activity 5.1: WHS records of incidents

What details will you need to take when completing a WHS record following an incident? Give at least five examples.

Search online for the WHS? Incident reporting form used by Plan2go, how does your list compare with the form used by Plan2go?

## Identify hazards and monitor risk control procedures

### Using data to identify hazards

Monitoring and assessing data and information from work area records is often an effective way to identify hazards.

You will need to pay attention to:

* Incident reports.
* Illness and injury reports.
* Risk assessments.
* Equipment issues.
* Contributing factors, such as weather.
* Employee concerns.

**Using information to monitor risk control procedures**

You should also look to monitor and assess data and information to establish how successful risk control procedures have been.

You will need to pay attention to:

* The exact procedures which are employed to manage specific risks.
* The time period that risk control procedures have been in place.
* The success (or lack of success) that procedures have had in controlling risks.
* The number of incidents recorded since procedures was introduced.
* Employees and managers’ views on procedures.



Figure Health and safety report.

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## Activity 5.2: Identify hazards and monitor risk control

Give five examples of types of information and data that you should track following the implementation of risk control procedures. The information must highlight success or inadequacies**.**

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# Appendices

## Websites

Plan2go Org Chart <http://plan2go.nctafe.edu.au/assets/document-library/Crew-Folders/People-and-Culture-Crew/Organisational/org-chart.pdf>

Safe Work NSW [www.safetystartswithyou.nsw.gov.au](http://www.safetystartswithyou.nsw.gov.au)

Safe Work NSW Free stuff <https://www.safetystartswithyou.nsw.gov.au/freestuff2>

Video: Consultation at work - The basics <https://www.youtube.com/watch?v=7OaLbST0SiI>

Plan2go <http://plan2go.nctafe.edu.au/assets/document-library/Crew-Folders/People-and-Culture-Crew/Organisational/org-chart.pdf>

Video: Surf Life Saving Australia’s Framework of Risk Control Measures <https://www.youtube.com/watch?v=joNzxW3OB0E&t=188s>