



## **BSB40215 - Certificate IV in Business**

### **Study Support materials for**

**BSBWHS401 - Implement and monitor WHS policies, procedures and programs to meet legislative requirements**



# **STUDENT HANDOUT**

## **BSBWHS401 Implement and monitor WHS policies, procedures and programs to meet legislative requirements**

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

It applies to individuals with supervisory responsibilities for implementing and monitoring the organisation's WHS policies, procedures and programs in a work area. These individuals have a broad knowledge of WHS policies and contribute well developed skills in creating solutions to unpredictable problems through analysis and evaluation of information from a variety of sources. They provide supervision and guidance to others and have limited responsibility for the output of others.

NOTE: The terms 'occupational health and safety' (OHS) and 'work health and safety' (WHS) are equivalent and generally either can be used in the workplace. In jurisdictions where the Model WHS Legislation has not been implemented RTOs are advised to contextualise the unit of competency by referring to BSBWHS401A - Implement and monitor WHS policies, procedures and programs to meet legislative requirements

<b>ELEMENT</b>	<b>PERFORMANCE CRITERIA</b>
<i>Elements describe the essential outcomes.</i>	<i>Performance criteria describe the performance needed to demonstrate achievement of the element.</i>
1. Provide information to the work team about WHS policies and procedures	1.1 Accurately explain to the work team relevant provisions of WHS Acts, regulations and codes of practice 1.2 Provide information about the organisation's WHS policies, procedures and programs, and ensure it is readily accessible to, and understandable by the work team 1.3 Regularly provide and clearly explain to the work team information about identified hazards and the outcomes of risk assessment and control
2. Implement and monitor participation arrangements for managing WHS	2.1 Communicate to workplace parties the importance of effective consultation mechanisms in managing health and safety risks in the workplace 2.2 Apply consultation procedures to facilitate participation of the work team in managing work area hazards 2.3 Promptly deal with issues raised through consultation, according to organisational consultation procedures and WHS legislative and regulatory requirements 2.4 Promptly record and communicate to the work team the outcomes of consultation over WHS issues
3. Implement and monitor organisational procedures for providing WHS training	3.1 Identify WHS training needs according to organisational requirements and WHS legislative and regulatory requirements 3.2 Make arrangements to meet WHS training needs of team members in consultation with relevant individuals 3.3 Provide workplace learning opportunities and coaching and mentoring assistance to facilitate team and individual achievement of identified WHS training needs 3.4 Identify and report to management the costs associated with providing training for work team, for inclusion in financial and management plans
4. Implement and monitor organisational procedures and legal requirements for identifying hazards and assessing and controlling risks	4.1 Identify and report on hazards in work area according to WHS policies and procedures and WHS legislative and regulatory requirements 4.2 Promptly action team member hazard reports according to organisational procedures and WHS legislative and regulatory requirements 4.3 Implement procedures to control risks using the hierarchy of control, according to organisational and WHS legislative requirements 4.4 Identify and report inadequacies in existing risk controls according to hierarchy of control and WHS legislative requirements 4.5 Monitor outcomes of reports on inadequacies, where appropriate, to ensure a prompt organisational response
5. Implement and monitor organisational procedures for maintaining WHS records for the team	5.1 Accurately complete and maintain WHS records of incidents of occupational injury and disease in work area, according to WHS policies, procedures and legislative requirements 5.2 Use aggregate information and data from work area records to identify hazards and monitor risk control procedures in work area

## **SECTION 1: PROVIDE INFORMATION TO THE WORK TEAM ABOUT WHS POLICIES AND PROCEDURES.**

The impact of a workplace injury is wide reaching. According to WHS acts there are four types of hazards, accident and disease (physical and physiological), and low work life quality and stress (socio-psychological). And, for all the listed hazards the impact are wide reaching to the work life of the employee and personal life. The impacts will be for the physical and physiological: high compensation costs, medical claims, lost productivity time and poor productivity affecting mostly the working environment, and for the socio-psychological: inefficiency/ineffectiveness, high work dissatisfaction and low job involvement, affecting personal working environment and personal life, in this cases of hazards the consequences can deal with depression. 2.

How is the integrity (validity) of information ensured? The integrity of the information is ensured based on the legislation of health and safety under the PCBU (person conducting a business or undertaking) these individuals are described as officers and they will be the ones to take steps and support the health and safety culture, accountability and the allocation of resources and policies. 3.

Scenario: In every workplace there will be relevant provisions of WHS Acts, regulations and codes of practice that apply. You are a team supervisor and it is your role to ensure that work teams are aware of these. The teams you supervise comprise relatively new workers who did not receive adequate induction and need to be brought up to date. How will you do this? There are different ways of approaching new workers, they are new workers because they never worked before in a specific industry, in the specific duty, or just never had experience in any work environment

Based on that, to make sure as team leader you are going to provide them the specific training and information related to the work duties, responsibilities and working policies, it is possible to use from as a Formal and Internal Source: providing to them policies and procedures of the company (printed documents, that they can sign assuring they read and understood) and providing to them specific training. As an External source: will be providing to them instruction manuals, hazardous material reports and training workshops.

Why is it important that all workers have access to health and safety information? It is important to ensure the integrity of the information, first of all. The information needs to be reliable, be valid, for that the upper management might use of a variety of sources to find out the reliability of the information, comparing, correlating and matching information help determinate consistency of information. It is important that the workers have access to health and safety information in order to properly support healthy and safety procedures in the workplace. Officers and need to know where to source healthy and safety information both internal (policies, records and procedures) and external (legislations and requirements).

If a worker had made suggestions for improvement regarding the design, development and management of health and safety in a company in which they worked, how could they go about having them ratified and implemented by senior management?

To be able to be implemented the suggestions need to be correlated with the external information: regulations, legislations, requirements in each state and territory. These legislative bodies can inform enquiries of the legislation pertinent to their state/territory and industry, and of their applications. After the suggestions checked with the legislative bodies for their validity, integrity and legality the upper management can establish the new procedures, or, either new policies, but maintaining work and safety in any work environment depends largely in the workers themselves. So, plan effectively it is important and place the best techniques for training and motivating staff to

work safely into practice. Workers who believe that their work environment is safe and secure and that their organisation cares sufficiently about their welfare to implement those policies, and ensure compliance, will work more efficiently and effectively. 3.

Before submitting these strategies to senior management for approval, should the worker consult with the members of their team/ department to get their input? Why/ why not?

Yes, they should consult with their managers, team leader and/or supervisors about their input because they are the responsible in their operations management capacity for efficiency and productivity. These professionals oversee the processes which contribute to achievement of organisational goals. Productivity (meeting target and goals) is measured in terms of input to outputs cost ratios. Productivity and profitability of an organisation relate to quality of products, increased performance and reduced resource costs (mistakes, waste and rework). Resourcing, health and safety policies, processes and procedures directly contribute to reduced organisational costs and to productivity improvements. Workers who believe that their work environment is safe and secure and their organisation cares sufficiently about their welfare to implement new policies, and ensure compliance, will work more efficiently and effectively.

Advertising to workers that officers and the company place a high value in work safety

Providing workers with detailed information regarding to company procedures and other safety requirements related to the work they do

Promoting team spirit and the notion that safety is a really a team effort

Providing a forum for workers to ask specific questions

Creating opportunities to generate feedback from those who know what it is like to work with existing safety policies

## **SECTION 2: IMPLEMENT AND MONITOR PARTICIPATION ARRANGEMENTS FOR MANAGING WHS**

Communicate to workplace parties the importance of effective consultation mechanisms in managing health and safety risks in the workplace.

1. What types of changes in the workplace would benefit from consultation between PCBUs and workers (or their representatives)?
  - Improve operations (effectiveness and efficiency)
  - Build, maintain and improve effective, trust based, reliable workplace relationships
  - Encourage mutual respect between workers and managers
  - Reduce stress levels for both management and workers
  - Improve job satisfactions levels

Apply consultation procedures to facilitate participation of the work team in the management of work area hazards.

Explain the role of the Health and Safety Representative (HSR) in each of these consultation procedures:

1. Attendance at team meetings Interaction between representative and presenter need to be encouraged by asking questions and answers, these will demonstrate their ongoing commitment with safety and communication processes. 2.
2. Early response to work suggestions, requests, reports and concerns put forward to management. When improvements in attitude and work practice are noticed, they should be acknowledge. Recognition and reward for this kind of behavior acknowledges the worker's contribution to workplace safety and acts to encourage further improvement. Showing the team that actions have been noticed promotes team spirit and boost morale.
3. Requirements as specified in Commonwealth and state/ territory legislation, regulations and codes of practice.

With new work inductions programs including health and information relevant to the new worker's job specification. As a result of effective induction workers will be aware of the expectations placed upon themselves and other workers.

Promptly deal with issues raised through consultation, according to organisational consultation procedures and WHS legislative and regulatory requirements.

1. What strategies can PCBU's use to consult with workers on health and safety issues? The PCBU's can use a number of different strategies to consult with workers on health and safety issues. One of the most common way is through the health and safety committees (HSC), holding regular meetings. During this meeting documentation of the exchanged information is recorded under the form of an agenda and a minutes. These allow the recording of the meeting outcomes and can then be passed on to the working team.

2. Health and safety issues raised through consultation should be dealt with promptly. Why is this?

Health and safety issues come under the heading of industrial issues. Issues raised through consultation should be dealt with promptly in order to avoid having to resolve a grievance or dispute under the jurisdiction of quasi-judicial bodies and tribunals which's function is to conciliate or arbitrate the given matters.

Promptly record and communicate to the work team, the outcomes of consultation over WHS issues.

Create a meeting agenda template suitable for a HSC. Sample shown below.

Company XY  
Location: 1140 Albany Hwy, Bentley, Perth/WA  
Date of meeting: 11/04/2014  
Time of meeting:  
Starting at 9.00 am till 12.30 pm

## **AGENDA**

1. Introduction of visitors and others where necessary
2. Apologies
3. Attendance
4. Confirmation of minutes from previous meeting
5. Matters arising from minutes
6. Safety Officer/s Report
  - Risk management
  - Workplace Safety Inspections (actions arising)
  - Hazard & Incident reports (Corrective/Preventative Action review)
  - Staff & Student Induction
  - Occupational Health and Wellbeing
7. Specialty Officer/s report including incidents and other statistics
8. Health & Safety representative/s report
9. Plan Review
10. New or other business
11. Next Meeting Dates

## **Sample of a meeting Minute template**

1. Time, venue and date of meeting
2. Attendance
3. Items discussed (reports, problems, statistics)
4. Reason for recommendation (and counter arguments voiced)
5. Recommendations: specifying actions needed by when and by whom?
6. Next meeting time and date
7. Signature of chairperson

## **SECTION 3: IMPLEMENT AND MONITOR ORGANISATIONAL PROCEDURES FOR PROVIDING WHS TRAINING.**

Identify WHS training needs according to organisational requirements, and WHS legislative and regulatory requirements

1. What is a training needs analysis (TNA) and how can it be conducted It is the formal process for determining training needs, that is, the gap between the required skill and knowledge level of workers to enable them to perform their tasks and the current skill and knowledge level of worker.
2. What tools can be used to identify the skills a worker needs? -
  - Direct observation -
  - Question the worker about work tasks -

- Feedback from supervisors -
  - Formal assessment -
  - Examine existing assessment reports -
  - Examine employment records -
  - Formal interview
3. What are the steps in developing a training program?
- Analyse the survey results -
  - Create a worker training profile -
  - Develop a training development plan to all employees -
  - Implement the training -
  - Evaluate the training effectiveness

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

Your team is concerned that they have insufficient knowledge/ understanding of safety procedures and legislative requirements in your workplace. They also feel that the incidence of accidents in your section is higher than it should be. They have asked you to submit, to senior management, a proposal for a formal health and safety training program.

1. What information would you include in the proposal and how would you encourage senior management to support this initiative? What procedures would you follow in gathering data and information to support your proposal? How likely is it that this or a similar proposal would be accepted in your workplace? The information included in the proposal should include what the training program might cover, (e.g.: health and safety responsibilities and roles, hazard and risk identification and reporting procedures and so on. The senior supervisor should be presented with the team concerns and reports of increased incidence of accidents in given section. Proposal should be supported with statistical analysis of incidence reports and team TNA evaluation such as formal assessment, or consultation between managers, supervisors, HSCs, HSRs and workers. Also the senior management should be made aware of their legislative and regulatory requirements. It is very likely that this or a similar proposal would be accepted in the workplace as team feedback underlines an apparent need for it
2. What critical information must be contained in a new worker induction program? -
  - Specific job task training to ensure that workers have the skills and knowledge they need to complete tasks in a competent and safe manner -
  - Health and safety training

3. Why is only providing induction training and no follow-on training unsatisfactory?

Because workers need skill, personal and professional development programs to stay up to date with WHS, and to allow the development of new and transferrable skill and knowledge (e.g.: new work or promotions areas).

Provide workplace learning opportunities, and coaching and mentoring assistance to facilitate team and individual achievement of identified WHS training needs.

What are the benefits of evaluating training to both workers and the organisation? It will help determining the appropriateness and effectiveness of: the training objectives, the content of the training, the learning of participant, the trainer's skills.

When evaluating health and safety training, how can you determine the appropriateness and effectiveness of the training? Compare and map against past performance in given areas, allowing reasonably accurate evaluation.

What should be evaluated in relation to a health and safety training program?

- Demonstrated safe work practice -
- Demonstrated understanding of the reasons behind safety procedure -
- Reductions in the number of workplace accidents and incidents -
- High levels of worker satisfaction -
- Increased perceptions of PCBU credibility -
- Reduced attrition and absenteeism percentages, as they relate to health and safety issues and concerns.

**Identify and report to management, the costs associated with providing training for work team, for inclusion in financial and management plans.**

Your organisation has identified an increase in injuries to workers who use the new plant. You are responsible for training in the area where the injuries occur. Your rate (for the exercise) is \$360 per day. A training needs analysis concludes a training program will reduce the injury rate. Consider:

- the training needs analysis will take two days, including reporting to management
- it will take you five days to develop the training program
- you can get a good training video at a cost of \$375
- you will need to hire a TV/ video for each session, cost \$120
- handouts will cost \$12 per participant
- management wants you to conduct the training at a venue that costs \$195 per day
- catering is available, \$25 per participant per day
- you will deliver the training
- lost production is costed at \$320 per day per participant You will train 20 workers in five groups. Each course runs for one day. Administrative support works out at \$28 per participant. Calculate a cost for training. Upload your answer for assessment.  $360 \times 5$

Training Cost

- Trainer Cost (12 days) \$4.320 Training video (1) \$375 TV/ video (hire for 5 days) \$600 Handouts (20 workers) \$240 Venue (5 days) \$975 Catering (20 workers) \$500 Lost production (20 workers) \$6.400 Administrative support \$560
- Total: \$13.970,00

## SECTION 4: IMPLEMENT AND MONITOR ORGANISATIONAL PROCEDURES AND LEGAL REQUIREMENTS FOR IDENTIFYING HAZARDS AND ASSESSING AND CONTROLLING RISKS

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

1. What is the difference between a risk and a hazard?  
A hazard is any source that has the potential to harm life, health, property or the environment. A risk is the chance of something harmful occurring, the likelihood that harm will occur as a result of hazard.
2. Create a checklist for a manager/ supervisor to assist them with the identification of hazards.
  - Conduct regular, well-organised, documented and recorded safety inspections of work areas and work practices;
  - Objectively and regularly analyse and evaluate procedures and systems of work
  - Investigate all accidents, injuries, incidents and near miss events immediately after the event (in order to keep accurate records)
  - Inspect all new items purchased and installed to determine potential hazards
  - Implement waste disposal and recycling procedures which will ensure both worker and environmental safety
  - Ensure that purchase orders contain specifications with regard to health and safety considerations for new plant and equipment
  - Ensure workers understand correct and safe working and operating practices
  - Respond promptly to concerns or enquiries made by workers
    - acting on, and providing prompt feedback regarding issues raised, will encourage workers to report hazards and become more safety conscious
  - Conduct or organise regular health and safety training, coaching or mentoring for workers
  - Encourage workers to list and report hazards of which they are aware
    - hazard identification and reporting is everyone's responsibility
  - Consult personally with workers to discuss any problems they have in their work area
  - Ensure that worker job descriptions and KPIs state health and safety responsibilities with regard to job requirements

Promptly action team member hazard reports according to organisational procedures and WHS legislative and regulatory requirements.

1. Why should organisations have comprehensive risk assessment procedures? Because accurate recordkeeping is essential. The records will become part of the periodic risk assessment system, providing valuable information for comparisons, decision-making, verification of past actions and for demonstrating legislative compliance. 2.
2. A hazard has been assessed as being unlikely, but would have major consequences. Using the [risk assessment matrix](#), identify the risk and what it means to the organisation.

The risk is High - indicates unacceptable level of risk. Controls and measures must be developed and implemented in the short to medium term. Being unlikely means the rate potential severity is 10 to 25%, this will be:

- Exposure of one or more person, two to three times per month
- Exposure to hazard less than 25% of the time the task is operational
- Exposure for less than one hour per shift

But the risk is major, so if it happens the company might offer some benefits to the employee, they will be:

- Medical treatment that results in hospitalisation
- More than five days off work
- Loss of limb or bodily function (includes noise induced hearing loss and chronic industrial dermatitis etc)
- Loss of a half day's production or vital plant/equipment etc
- Between \$500.000 and \$1.000.000 damage
- Compensation requirement
- Potential for the above is high in a near miss situation

3. What are the factors that impact upon the severity of an incident?

There are two dimension of the factors that can impact at the severity of the incident, one is inside (internal) the company environment and the other one is the environmental impacts (external).

Internal:

- The number of people who might be affected in one incident
- Special characteristics of the person/people involved
- Concentrations of chemicals
- Volumes of materials
- Speed of projectiles and moving parts
- Heights and distances
- Weights
- Forces and energy values

External:

- The size of the environmental release
- The affected medium – land, air or water
- Concentration of materials
- Containment
- Degree of difficulty with the clean-up
- The number of people affected (both company personnel and external persons/stakeholders)
- Degree of permanent damage or lasting effects

Implement procedures to control risks using the hierarchy of control according to organisational and WHS legislative requirements.

1. Give an example of each of the five strategies for managing hazards.
  - a. Elimination  
Design processes factor in controls and specifications to eliminate hazards (example: noise or vibration control, enclosed machinery).
  - b. Substitution.  
Sandstone grinding wheels containing silica (silicosis risk) have been largely replaced by wheels made from an inert, less harmful, artificial abrasive called aluminium oxide.
  - c. Engineering  
Equipment, work processes, tasks, machinery can be redesigned to reduce or eliminate worker risk (mechanical lifting devices versus manual handling risks).
  - d. Administration.

Shared jobs or reduced time attending to a particular activity can limit the risk of exposure to hazards - chemicals, difficult processes, isolation, sunlight, repetitive strain and etc.

e. Personal Protective Equipment (PPE).

PPE in use at a workplace indicate the need to revisit risk management on a programmed basis. If exposure cannot be prevented or reduced by ways other than the use of PPE, the PCBU must ensure that persons who may be exposed are supplied with and properly instructed in PPE use.

2. How often should risk assessments be conducted?

Once a control has been implemented, another hazard identification should be conducted to make sure the control is effective or its introduction has not caused a new hazard. If a hazard is found, a fresh risk assessment should be made and control measures implemented. If a hazard is not eliminated, the risk merely reduced, the hazard should be included in the hazard register and subject to a regular review

**Identify and report inadequacies in existing risk controls according to the hierarchy of control and WGS legislative requirements and monitor outcomes of reports on inadequacies, where appropriate, to ensure a prompt organisational response.**

You are the safety supervisor at a commercial construction company. The company employs 12 administration personnel, 18 construction personnel and 60 construction subcontractors.

The workers who work on-site face a changing work site each day and are often working with people from other companies. Three months ago you were alarmed at the number of back injuries being reported and introduced new procedures that were aimed at ensuring heavy items were lifted in accordance with the legislative requirements of your state/ territory and work requiring bending for long periods was minimised. You provided a toolbox meeting to inform the workers of the new procedures and techniques. You now need to evaluate this strategy to determine whether it has met your aim of reducing back injuries.

Data	Reason	Data Source
Company back injury rates	<b>Core data</b>	<b>Injury reports</b>
Company near miss for back injury rates	Leading indicator for actual back injuries	Near miss reports. Anecdote conversations with key workers.
Company overall injury rates + causes	Determine whether there are other reasons for a change in rate	Injury reports
Company near misses	Leading indicator for other injuries	Near miss reports. Anecdotal conversations with key workers
Industry benchmark on back injury rates	Establish a norm for performance	Employer association. State jurisdiction

Using the information provided above, develop a procedure for systems evaluation that covers:

- inclusion of external data in the evaluation process
- external input into the evaluation process, e.g. stakeholders
- how identified areas for improvement will be documented and actioned
- how top management will be involved in the review process

The evaluation procedure will need to include external data:

- safety committees, suggestions, recognizing/rewarding.

The external input into the evaluation process will be held by:

- engineering, management, PPE, interim measures, maintenance

The identifications for improvements will be documented beyond:

- inspections, observation, surveys, interviews

The Top management will be involved in three different ways:

1. leading, following, managing, planning, funding
2. Providing: orientation, instruction, training, personal experience
3. Judging effectiveness of conditions, behaviours, systems, results

## **SECTION 5: IMPLEMENT AND MONITOR ORGANISATIONAL PROCEDURES FOR MAINTAINING WHS RECORDS FOR THE TEAM**

Accurately complete and maintain WHS records of incidents of occupational injury and disease in work area, according to WHS policies. Procedures and legislative requirements.

1. Why is it important to keep health and safety records? Because the records will be available to support improvement initiatives, design and develop new policies and procedures, and act as proof that the organisation is upholding its responsibilities to workers and legislation. It also need to be available in the case of worker's compensation claim or as evidence in a litigious action. In this way, health and safety is integrated into organisational systems.
2. Name three health and safety records that must be kept by every organisation.  
1. Incident records 2. The first aid register 3. The register of all injuries
3. If you were the health and safety representative of a company, how could you ensure that the workers you represent are aware of the recordkeeping requirements?

Beyond manuals, guides, handbooks or instructional lists, accident report forms, and complaint/grievance procedure forms. These documents need to be registered in some way (electronically, or, hand-writing) to make sure the documents were filled in, named and stored in non-restricted folders, or network locations.

Use aggregate information and data from work area records to identify hazards and monitor risk control procedures in work area.

1. Based on the workplace experience of eight lost time injuries for the year, and using the information provided in the examples 1, 2 and 3, calculate the following:
  - a. Frequency rate.
  - b. Incidence rate.
  - c. Average lost time/ severity rate

## Your Findings

Frequency rate 22.85 Incident rate 55.33 Average lost time / severity rate 12.2.

You are required to present these statistics to your next senior executive weekly committee meeting. Describe how you will present this information. Upload your answer for assessment, including any graphs or tables that might be relevant.

The company employees 150 workers, the total of working hours a year is 350,000. The total of lost time injuries for this year is 8 (injuries that have resulted in the loss of at least one entire shift). These results in a total of 96 days off.

The frequency rate for that year is calculated as follows:

FR= Lost time injuries times 1,000,000 divided by the total number of hours worked. That is:

FR=  $8 \times 1,000,000 / 350,000$

The frequency rate is: 22.85 The incident rate for that year is calculated as follows:

IR= Lost time injuries times 1,000 divided by the number of wages earners. That is:

IR=  $8 \times 1,000 / 150$

The incident rate is: 55.33

The severity rate for that year is calculated as follows:

SR= Number of working days lost divided by the number of occurrences in the period. That is:

SR=  $96 / 8$

The severity rate is: 12

[http://www.academia.edu/6681056/ASSESSMENT\\_1\\_BSBWHS401A\\_Implement\\_and\\_monitor\\_WHS\\_policies\\_procedures\\_and\\_programs\\_to\\_meet\\_legislative\\_requirements](http://www.academia.edu/6681056/ASSESSMENT_1_BSBWHS401A_Implement_and_monitor_WHS_policies_procedures_and_programs_to_meet_legislative_requirements)