



# ATAR DESIGN

**Recognition of Prior Learning (RPL) to  
all Participants**

**BSB41415  
Certificate IV in Work Health and  
Safety**



## Table of Contents

<b>Part One .....</b>	<b>3</b>
<b>Overview .....</b>	<b>4</b>
Who is this guide for? .....	4
What is recognition? .....	4
Why promote recognition? .....	5
Guide structure .....	5
<b>Understanding Recognition .....</b>	<b>6</b>
What is your experience of recognition? .....	6
Recognition - True or False? .....	7
<b>Common recognition myths .....</b>	<b>8</b>
<b>Implementing recognition .....</b>	<b>12</b>
Where does recognition fit in? .....	12
How does recognition work? .....	14
Overview of the Six Stages .....	15
Unpacking the Six Stage Model .....	16
The Six Step Recognition Model in action .....	30
<b>RPL Evidence List for Enrolment .....</b>	<b>31</b>
<b>Part Two .....</b>	<b>32</b>
The Process .....	32
<b>Certificate IV Qualification Type Descriptor .....</b>	<b>36</b>
Units of Competency .....	37
BSBWHS402 Assist with compliance with WHS laws .....	38
BSBWHS403 Contribute to implementing and maintaining WHS consultation and participation processes .....	40
BSBWHS404 Contribute to WHS hazard identification, risk assessment and risk control .....	42
BSBWHS405 Contribute to implementing and maintaining WHS management systems .....	44
BSBWHS406 Assist with responding to incidents .....	46
BSBMGT502 Manage people performance .....	48
BSBSUS401 Implement and monitor environmentally sustainable work practices .....	50
BSBWHS408 Assist with effective WHS management of contractors .....	52
BSBWHS409 Assist with workplace monitoring processes .....	54
BSBWHS410 Contribute to work-related health and safety measures and initiatives .....	57



# Part One

Part One of this document is a reproduction as detailed below.

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## Project Team

The NSW Department of Education and Communities would like to acknowledge the valuable contribution of the many people who generously gave of their time and ideas and contributed to the development of these resources by direct involvement in projects, by providing information and industry perspectives and by involvement in the trialling and review of project materials.

## Disclaimer

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The reproduction includes minor changes to remove some state based indications and to provide a more universal document for Nationally Recognised Training.

Part two of the document is information developed by this RTO to explain the requirements to applicants and referees.

It is provided free of charge to the interested parties.



# Overview

## Who is this guide for?

This document has been developed resources to assist people and organisations in the recognition process to meet the requirements of the National Skills Framework.

This guide to recognition is for assessors. Other guides are designed for:

- Registered Training Organisations
- Candidates and potential candidates
- Employers and referees

This guide will assist assessors to offer streamlined recognition processes and enable them to help employers and recognition candidates to be better informed about recognition.

This guide is intended for trained assessors who are familiar with key aspects of quality assessment practice, including the principles of assessment and the use of a wide variety of methods of assessment applicable to both groups and individuals. This guide is not a substitute for thorough training in assessment for all assessors.

## What is recognition?

Recognition is the process by which a person's existing skills and knowledge, regardless of how they have been acquired, are assessed and credited towards the achievement of units of competency from national training package qualifications or accredited courses. Recognition is sometimes known as Recognition of Prior Learning (RPL), Recognition of Current Competency (RCC) and Assessment-only Pathway.

Provisions in the Standards for Registered Training Organisations (RTO) 2015 require that RTO's offer recognition to all applicants on enrolment and ensure that the process is structured to minimise the time and cost to applicants.



## Why promote recognition?

Workers with existing skills but no formal recognition of those skills are often required to undertake unnecessary training to gain a qualification. Unnecessary training is inefficient for both industries and workers, delaying training completion, wasting training funds, and affecting the ability of workers to fill skilled positions in a timely way.

While RTOs in receipt of government funds are required to offer recognition to applicants, take-up remains low due to a number of factors, including poor understanding of the process by potential candidates, employers and training providers.

The ability to offer streamlined recognition processes enables an RTO to develop positive relationships with potential candidates and employers. These stakeholders are more likely to view the RTO (and its assessor/s) as partners working to meet their individual training and assessment needs.

## Guide structure

The guide contains these main sections:

- Understanding recognition;
- Implementing recognition; and
- Resources for recognition and references.



# Understanding Recognition

Recognition is the process by which a person's existing skills, knowledge and experience, regardless of how they have been acquired, are assessed towards the achievement of units of competency from nationally recognised training packages or accredited courses. Recognition is an assessment process.

## What is your experience of recognition?

Reflection Activity	
	<ol style="list-style-type: none"><li>1. Think back over your experience of recognition – whether as a candidate or assessor, or perhaps as an employer of a candidate or as an RTO administrator.</li><li>2. What challenges, problems or barriers to recognition have you experienced?</li><li>3. Jot them down now and keep your notes to read again at the end of this guide. By the time you review them, this guide should have provided solutions or strategies to overcome many of the barriers and challenges.</li></ol>



## Recognition - True or False?

Some of the barriers and challenges associated with recognition occur as the result of mistaken beliefs, or myths, about recognition. Which of the statements below are true and which are false?

1	"You can't get a complete qualification through recognition – only a percentage of it."	True	False
2	"You can only get recognition if you have documentary evidence – a portfolio of paperwork."	True	False
3	"Recognition is so difficult, you'd be better off doing the course."	True	False
4	"Recognition is a high risk activity for RTOs."	True	False
5	"It's not worth the effort to promote recognition because of the amount of paperwork required to fulfil the requirements of the Standards for RTOs 2015"	True	False
6	"Qualifications achieved through recognition are not of a similar standing to those achieved through training and assessment."	True	False
7	"Recognition has to be a long and complicated process."	True	False
8	"Recognition is too expensive for RTOs".	True	False



# Common recognition myths



Check your answers.

Clarifying some of the myths surrounding recognition is important in overcoming some of the challenges and barriers commonly associated with it.

<b>Myth 1</b>  “You can’t get a complete qualification through recognition – only a percentage of it”.	Yes, you can. The key is to ensure there is sufficient quality evidence for the assessor to make an informed decision. If the candidate has all the required competencies and can prove this, the whole qualification can be awarded through a recognition process.
<b>Myth 2</b>  “You can only get recognition if you have documentary evidence  – a portfolio of paperwork”.	Recognition is about recognising existing knowledge and skills. This may take the form of some documentary evidence but can also include other forms of evidence such as observation and questioning.
<b>Myth 3</b>  “Recognition is so difficult, you’d be better off doing the course”.	Good practice is about offering a choice of pathways to the candidate, none of which should be more difficult than the other, depending on the candidate’s experience. The recognition process should be rigorous but the learning and assessment pathway should be just as rigorous.
<b>Myth 4</b>  “Recognition is a ‘high risk’ activity for RTOs”.	Recognition carries no more risk than any other form of assessment or other services that the RTO may offer, provided it is carried out effectively.





<b>Myth 5</b>  “It’s not worth the effort to promote recognition because of the amount of paperwork required to fulfil the requirements of the Standards for RTOs 2015 auditors.”	The paperwork required needs to fulfil the requirements of the Standards for RTOs 2015 as does all paperwork related to assessment activities of the RTO. Recognition does not require more difficult recording and reporting than other forms of assessment.
<b>Myth 6</b>  “Qualifications achieved through recognition are not of a similar standing to those achieved through training.”	Under the National Skills Framework it does not matter how the qualification was obtained. It is still a nationally recognised qualification. If the recognition process is as rigorous as any other assessment process, there should be no more than the usual differences between qualified people.
<b>Myth 7</b>  “Recognition has to be a long and complicated process.”	No it doesn’t; but it is a process, as is all learning and assessment. The process should suit the candidate’s needs and therefore be flexible.  The length of the process may depend on the amount of recognition sought by the candidate and the type/s of evidence to be collected.
<b>Myth 8</b>  “Recognition is too expensive for RTOs”.	Recognition should be costed as any other service provided by the RTO and reasonable fees should apply. Recognition is funded as part of government funded programs.



Reflection Activity	
	<ol style="list-style-type: none"><li>1. How did you go with the True/False activity?</li><li>2. Are you still doubtful about some of the answers given? Perhaps they don't reflect your experience? How would you feel if the choices were between "Should be true" and "Should be false"?</li><li>3. Do the answers help you think of any ways in which your current recognition practices could be improved? The following case study should also help.</li></ol>

### Case Study – Improving recognition practice

John owned a small business specialising in providing tree services – pruning, felling, removing stumps. He employed two teams of four – each headed by a team leader with the qualification AHC30810 Certificate III in Arboriculture. The remaining team members were labourers' without formal qualifications who had learned many skills in John's employ – workplace safety, teamwork, communication – both verbal and non-verbal – as well as a range of skills in horticulture, arboriculture and using tools and equipment.

John approached a large local training provider to see what recognition might be possible for his workers if they enrolled in a relevant qualification. He was asked what paperwork they had to support their application and told they would need a portfolio of documents as evidence of their skills and knowledge. After a brief, but frustrating, exchange John gave up on the idea – "all too hard – they'd be better off doing the course" as the training provider suggested. Later, at the club, John was overheard expressing his frustration to a friend by a trainer from a different training provider, who felt it necessary to interrupt and defend the reputation of all vocational training providers! She explained that the RTO needed paperwork records of the evidence used in assessing existing skills and knowledge of workers, but suggested a process that might work for John's labourers'.



A combination of types of evidence could be collected by:

- An assessor observing the teams at work and using an observation record/checklist to capture evidence of the skills observed – in this case the RTO would provide and complete the paperwork; plus
- John providing references verbally – in answer to a set of questions based on relevant competencies. Questions would be devised by the RTO and answers recorded by the assessor. This would help ensure the workers had performed at an acceptable workplace standard over a period of time; plus
- The workers themselves providing verbal answers to a set of questions based on relevant competencies to ensure an appropriate depth of knowledge and ability to handle contingencies.

In this way, the RTO would have three types of evidence, recorded on well-designed assessment tools, matching the requirements of the competencies, and ensuring the validity of the evidence. A final document would then be completed by the assessor, aggregating the evidence, documenting the assessment decision, and providing for candidate feedback.

As the RTO already had validated assessment tools for relevant competencies, these could be used, or adapted if necessary, for recognition assessment – saving the RTO much expense in the process. There would be a fee for John and/or his workers to pay, but less than the cost of attending training and then undertaking assessment. The assessor/s would also be likely to have greater confidence in their decision about competency when using familiar assessment tools clearly based on relevant competencies.



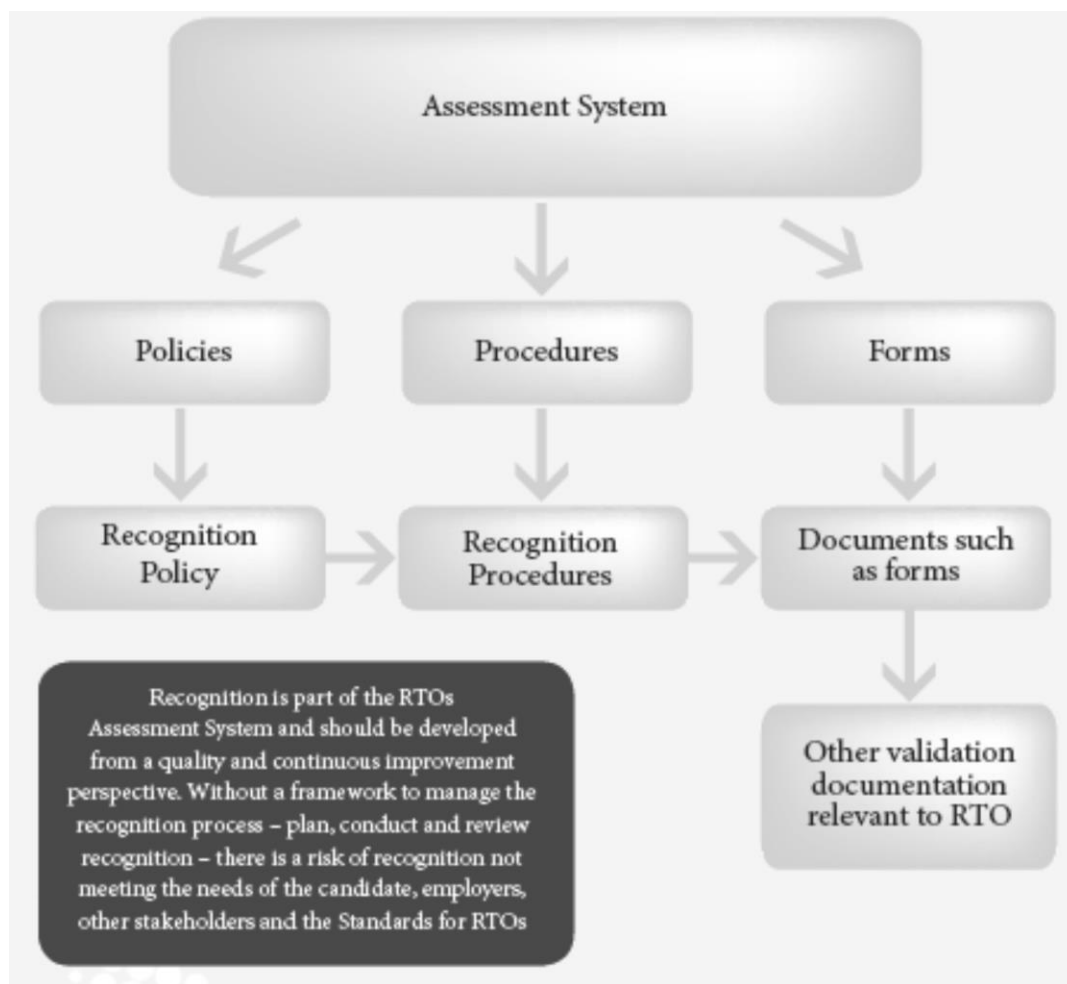
# Implementing recognition

## Where does recognition fit in?

Your work as an assessor is governed by the assessment and recognition policy, procedures and forms used by the RTO that employs you. If you are employed by more than one RTO you will usually find differences in the policies, procedures and forms used. While this can be confusing, it also means you are in a good position to compare and evaluate different procedures applied to similar, or different, contexts. One thing you should remember is there is no 'one-size fits all' approach to recognition.

You may also find that your assessment expertise is called upon to assist an RTO to develop workable recognition procedures and forms, and you will certainly be asked to help in evaluating these as part of the organisation's continuous improvement strategy and to participate in assessment validation.

The system fits together like this:





Reflection Activity	
	<ol style="list-style-type: none"><li>1. Think about the RTO/s you work for.</li><li>2. Is there a policy for recognition? Do you know what it contains?</li><li>3. Where is the recognition procedure documented?</li><li>4. What forms or other documents do you use to conduct recognition assessment? Are they the same or different from those used for other assessment activities?</li></ol>

The recognition policy and procedures should outline only those things specific to the recognition process. Recognition is a type of assessment so other assessment policies and procedures will also procedure and it is unlikely that a different procedure will be required for recognition. All forms of assessment need to be recorded, validated and evaluated and, again, it is likely the same procedures and forms can be used for recognition as for other forms of assessment.

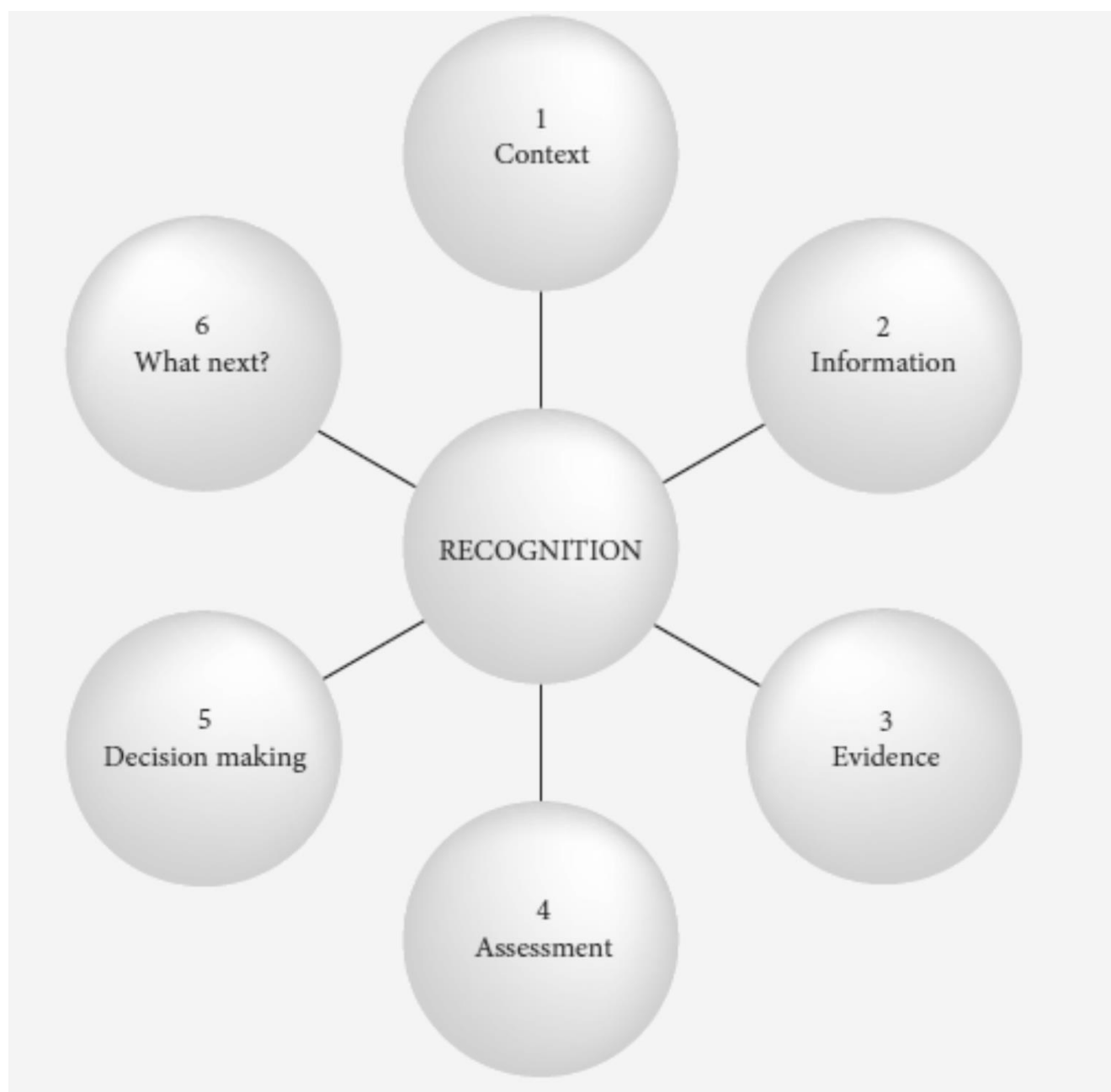


## How does recognition work?

Effective implementation of recognition requires a simple model to be in place that is clear, concise and enables all stakeholders to follow the process.

The following six-stage model has been designed to assist you to develop and implement an effective recognition process. The information below will guide you through the stages and provide examples of how each one works.

### Stages of the recognition process





## Overview of the Six Stages

1. Context	Establishing the environment in which recognition takes place – the industry, the location, whether in a workplace or a training organisation, the level of qualification sought and so on.
2. Information	How everyone involved is informed about the process of recognition in consistent ways, and how candidates understand the expectations of the assessment process.
3. Evidence	The proof of competency - negotiated between the assessor and candidate (within guidelines). How does the candidate prove their competence? What rules are applied to this evidence?
4. Assessment	Collecting and measuring the evidence against the standards of performance required – using the assessment tools and recording the evidence.
5. Decision making	Once all evidence is collected and measured, the assessor aggregates/evaluates this and makes a decision about competency which is communicated to the candidate.
6. What next?	The candidate is helped to decide “where too next?” This may include ‘gap’ training to complete a qualification, advice about the next level of qualification available, career advice for the newly qualified, or the development of an action plan if not yet competent.

While the six stage model establishes a common structure for thinking about and implementing recognition which all assessors and RTOs can use, the individual RTO and its assessor/s will need to consider the specific needs of their stakeholders in developing the details of their process. The information below describes your role, as the assessor, in each stage of the process by providing you with:

- A table detailing the considerations and the role of the assessor for each stage; and
- A case study or example which illustrates the specific stage in more detail (except for the final stage).



## Unpacking the Six Stage Model

### Stage 1 – Context

The assessor helps the candidate to identify the industry they work in, the qualifications and/or units of competency relevant to them, and provides an overview of the process of recognition.

What to consider	Role of the assessor working with applicants
<p>What industry area is the candidate working in (or wanting to work in)?</p> <p>What qualifications and units of competency are relevant to them and their employer or employment aspirations?</p> <p>What specific legislation and regulations pertain to that industry?</p> <p>Who is/are the candidate/s? Individuals or groups?</p> <p>What relevant experience/training have they had?</p> <p>Are they currently working in a relevant job?</p> <p>What tasks do they perform in their job? At what level?</p> <p>What is the environment they work in – high risk, customer focused, privacy issues? How could this affect the collection of evidence?</p>	<p>Provide candidates with an overview of:</p> <ul style="list-style-type: none"><li>• What recognition is</li><li>• What's involved in the recognition process</li><li>• Qualifications available and potentially relevant units of competency.</li></ul> <p>Interview the potential candidate/s to help them think about their relevant experience and motivation.</p> <p>Encourage the candidate and, if required, help them make decisions about qualifications/competencies that might be relevant.</p> <p>Help the candidate identify support – in their workplace or among friends and family employed in a similar context.</p> <p>Ask the candidate to consider the likelihood of employer cooperation in the assessment process.</p>

The following case study illustrates the importance of establishing the context for recognition before providing further advice to a potential candidate.

### Case Study – Context

Mohamed works for a large government department in an administrative role. His job includes:

- Record keeping - setting up and maintaining files
- Using a computer - creating simple word processed documents and spreadsheets





- Coordination of meetings and special events, including organising venues and catering, taking minutes if required, sourcing information, preparing documents and making copies as required
- Supervising one permanent administrative officer and supervising temporary staff as required.

Mohamed is interested in furthering his career and is aware that his lack of formal qualifications may hold him back. He is keen to expand his supervisory and leadership responsibilities and found a course in the Handbook of a large local RTO that interests him – PSP40112 Certificate IV in Government - but he is not sure whether a 'government' qualification will restrict his future career options. He has also found courses in Frontline Management and Administration that look interesting and the more he looks the more confused he becomes.

Mohamed decides to go to the local RTO for advice - he wants to know which course to do and whether his existing work experience will enable him to fast-track his study.

Mohamed talks to a trainer/assessor who explains that the Certificate IV in Government is starting soon so that would be the best option. The trainer also advises that Mohamed shouldn't worry about applying for recognition yet - he can do that after starting if he decides the content of any of the modules is familiar. Mohamed would of course have to continue attending the course until the recognition assessment decision is made - which might take a few weeks - so by then he might just as well finish the module. Mohamed leaves feeling somewhat dissatisfied with the advice, but not sure what to do next.

Consider the following questions in relation to the case study.

Refer to the top of the next page for some suggested answers.

- What do you think of the advice Mohamed received? Does the trainer appear to have good reasons for recommending the Certificate IV in Government course to Mohamed?
- Should Mohamed have to start attending a course before being able to apply for recognition? Has the trainer given Mohamed a positive introduction to the possibility of undertaking recognition?
- What could the trainer/assessor have done better to ensure Mohamed's needs are met?
- What could Mohamed have done better to help ensure he received useful advice? Is there any way he could have undertaken more research for himself?



Did you consider the following in your answers to the questions?

- Mohamed should have been offered recognition before commencing attendance at a course.
- Mohamed's needs should be considered in recommending a course to him - not just the starting date of the next possibly relevant course being offered by the RTO.
- Mohamed could have used RTO handbooks and the internet to research the different courses available and their relevance to him before choosing an RTO to approach – this may have increased the likelihood of him finding the optimal course for his needs. He could also have discussed the suitability of specific qualifications with his workplace supervisor or HR department.



## Stage 2 – Information

The assessor, along with other RTO staff, helps the potential candidate to understand exactly what to expect from the recognition process – the competencies being assessed, the evidence required, the assessment process and its possible outcomes – so that the candidate can make an informed decision about whether to proceed.

What to consider	Role of the assessor working with applicants
What information does the potential candidate need and how can we best provide it?	Ensure you are conversant with the process and know who is available to answer queries you can't answer.
Are all RTO staff in client contact positions able to answer basic inquiries and refer questions appropriately?	Provide information kits or information sessions on recognition requirements to potential candidates.
Is the RTO's printed information in plain English?	Interview potential candidates to help them decide whether to undertake the recognition process.
Would other languages also be appropriate, and if so, which ones?	Provide specific information about qualifications /competencies to enable candidates to self-assess their existing knowledge and skills.
Who is the best person to help the candidate?	Provide information on support available during the process and who the support or contact person will be.
How can we help candidates undertake a self-assessment?	Provide self-assessment tools specific to the units of competency.
What other types of help might candidates need?	

The following case study illustrates the types of information which should be provided to potential candidates at this stage:

### Case Study - Information

Kerry approached a local RTO about their advertised course in office administration.

She had two (2) years experience of office work as the receptionist for a real estate agency and had also learned basic word processing and database management skills at school.



Following an initial discussion, the RTO gave her a recognition information kit for the Certificate III in Business Administration which included:

- An outline of the qualification – what it is about, who it is for, what jobs or occupations it is relevant to and any specific industry requirements for completion (e.g. licensing, field work)
- Details of units of competency in the qualification, in plain English, and a description of the compulsory and elective units
- Explanation of the recognition process – in the form of a flow chart
- Self-assessment forms to enable Kerry to assess the likelihood of her success in the recognition process, together with suggested types of evidence she might use to prove her competence
- Information about the time commitment required for the recognition process and the cost of enrolment
- Details of an RTO contact person for further information
- Enrolment information – where, when, what to bring.

Consider the following questions in relation to the case study. Refer to the discussion at the bottom of the page after answering the questions. You will also find a template for a candidate self-assessment form at the back of this guide.

- How does the information provided in the case study compare with information provided to potential recognition candidates by your RTO?
- At what point should detailed information be provided – before or after the candidate has enrolled? Why?
- What types of support does your RTO offer recognition candidates?

You may need to think about the following in establishing your recognition process:

- How much information does a person need to be able to make an informed decision about enrolment?
- How much work/information can your RTO afford to 'give away' prior to enrolment?
- How does the candidate get their questions answered if insufficient information is provided in a recognition kit or on a website?



## Stage 3 – Evidence

What to consider	Role of the assessor working with applicants
<p>What types of evidence could be submitted for the specific qualification and units of competency?</p> <p>How can the evidence be gathered or created during the assessment?</p> <p>How can the assessor ensure evidence provided is of good quality?</p>	<p>Explain to the candidate suggested types of evidence. For example:</p> <ul style="list-style-type: none"><li>• Questioning – written, verbal, interview</li><li>• Observation of practical tasks - in the workplace, a simulated environment, in the classroom or any combination</li><li>• Finished products</li><li>• Presentations by the candidate</li><li>• Video and/or audio taped evidence</li><li>• Third party reports - providing examples of the candidate's work ability relating to the standards – this can be verbal or in writing</li><li>• Documents such as relevant qualifications/transcripts, project plans and reports, minutes of meetings, correspondence, resources developed</li><li>• Anything else that you or the candidate can think of that is relevant and proves their competence.</li></ul> <p>Be flexible in approach to types of suitable evidence – the question to ask is “does this provide proof of competence?”</p> <p>Explain the rules for assessment evidence in plain English to ensure evidence collected is of good quality:</p> <ul style="list-style-type: none"><li>• <b>Currency</b> – can the assessor be confident the candidate can perform to the standard demonstrated by the evidence, now?</li><li>• <b>Authenticity</b> – can the assessor be confident they are looking at the candidate's own work?</li><li>• <b>Validity</b> – is the evidence sufficiently relevant to the competencies being assessed and current workplace practices?</li><li>• <b>Sufficiency</b> – is there enough evidence to cover all components of competency – task skills, task management skills, contingency skills and job/role environment skills – as well as provide evidence of competent performance over time?</li></ul>



The following case study illustrates the selection of evidence for recognition assessment. See also the samples provided in the back of this guide for planning assessment evidence.

## Case Study – Evidence

Nate is an assessor working for an RTO which offers the qualification AHC30810 Certificate III in Arboriculture. He currently has two candidates attempting to complete parts of the qualification by recognition. Each candidate is providing different types of evidence to Nate, based on their experience and current work situation.

Candidate 1 – Sari – has recently arrived in Australia from overseas with no paperwork about her work experience and no relevant qualifications. She has recently begun working with a landscaping company, and needs the qualification to fulfil all the duties her employer requires. Nate and Sari have agreed that the assessment evidence for the selected units of competency will comprise:

- Observation by Nate of Sari's completion of relevant practical tasks. Nate will record these using an observation checklist
- Verbal questioning about the underpinning knowledge and contingency management aspects of the competencies. Nate will record the answers on Q & A sheets
- Completion of a log of experience supervised and signed off by her employer requiring completion of specific tasks in the workplace over a minimum period of six weeks.

Candidate 2 – Jordan – has considerable experience working as a labourer for Tree Care Inc and has asked Nate to accept the following evidence:

- Photographs of Jordan completing a range of tasks relevant to the competencies, supported by a letter from his employer stating that Jordan completes these tasks regularly to the standards required by the company.

Nate and Jordan have agreed that additional evidence to be collected will include:

- Observation by Nate of Jordan's completion of relevant practical tasks Nate will record these using an observation checklist
- Verbal questioning about the underpinning knowledge and contingency management aspects of the competencies. Nate will record the answers on Q & A sheets.



Consider the questions below in relation to the case study. Refer to the discussion at the bottom of the page after answering the questions.

- How relevant would the types of evidence collected by Nate be to the qualifications you assess?
- Why did Nate require additional evidence from Jordan, despite his extensive work experience?
- Sari's lack of proof of any previous work experience was not seen as a barrier to the completion of a recognition process by Nate. Do you agree?
- Do you think the four rules for evidence can be met by the evidence to be collected for Sari and Jordan?

Did you think about the following in answering the questions?

- Different qualifications and types of work require quite different types of evidence. This case study focuses on practical tasks and underpinning knowledge. For a Diploma in Management, much more documentary evidence might be more appropriate.
- Nate required additional evidence from Jordan to satisfy the rules for assessment evidence.
- Sari's lack of documentary evidence of prior work experience is irrelevant if she can satisfactorily demonstrate competency through completion of the practical tasks, answering questions and then applying the competencies consistently in the workplace for a specified period.
- Nate should be able to satisfy the rules for evidence with the combination of evidence described.



## Stage 4 – Assessment

This stage of the process is closely linked with the previous stage – Evidence, but you are more concerned with the methods of collecting evidence here than with the types of evidence to be collected.

What to consider	Role of the assessor working with applicants
<p>What are the best methods of collecting evidence:</p> <ul style="list-style-type: none"><li>• Observation of performance?</li><li>• Portfolio of documents?</li><li>• Reports or references from third parties?</li><li>• Asking questions?</li></ul> <p>Does the candidate have any special needs or disabilities?</p> <p>Where will assessment take place – at work, in a simulated environment, in a classroom – or simply through evaluating a portfolio?</p> <p>How many different meetings will be needed?</p> <p>How can the candidate/assessor ensure collection of sufficient evidence?</p> <p>What documentation needs to be completed?</p>	<p>The process of recognition assessment is similar to that for any other assessment:</p> <ul style="list-style-type: none"><li>• Ensure the candidate is fully briefed and the process is transparent</li><li>• Be flexible and prepared to make reasonable adjustments as required, e.g. asking questions verbally rather than in writing if appropriate for the competency concerned</li><li>• Liaise with workplace supervisors as required to ensure minimal disruption to the workplace and ensure workplace policies and procedures are adhered to</li><li>• Provide feedback to the candidate in a timely manner (without prejudicing the final assessment decision)</li><li>• Be flexible about the need to collect additional evidence if conflicting results are apparent from the initial assessment</li><li>• Complete prepared assessment tools to record the evidence.</li></ul>

The following case study continues looking at the assessment of Sari and Jordan described in the previous case study.





## Case Study – Assessment

In addition to deciding the types of assessment evidence to be collected for Sari and Jordan, Nate needed to plan and organise the assessment process.

Sari's practical assessment, with Nate observing, took place in a simulated workplace setting provided by Nate's RTO, and was followed by the verbal questioning. Once Sari had completed these aspects of the assessment satisfactorily, she could go on to complete the log of workplace experience in her current workplace. In order to facilitate this, Nate visited the workplace, ensured the cooperation of Sari's employer and explained how the log of experience should be completed. Once completed, Sari submitted this to Nate to enable him to make a final assessment decision. Nate also rang Sari's employer on completion of the log to discuss Sari's performance.

Nate rang Jordan's employer in relation to the photographs and letter of support provided and to discuss Jordan's performance prior to observing him. It was agreed that Nate would carry out his observations of Jordan's performance in the workplace so that work could continue and would also ask the questions there. Nate was able to make an assessment decision immediately as Jordan's employer was able to supply evidence of Jordan's performance over a considerable period of time to confirm Nate's own observation and questioning.

Consider the following questions in relation to the case study.

Refer to the discussion at the bottom of the page after answering the questions.

- Is it unfair or inconsistent for the assessment process to differ for Sari and Jordan?
- What could Nate have done if the evidence provided mixed indications about the performance of Sari or Jordan, e.g. if Nate's observation of Jordan's performance did not agree with his employer's opinion of his abilities?

Think about the following in relation to your own assessment practice:

- The differences between the assessment processes for the two candidates were necessary to ensure consistency in the rigour of evidence collected
- One way of ensuring conclusive evidence is to continue to collect evidence until convinced the candidate is either competent or not, but there will be practical limits to this. Normally the planned evidence can be extended to an additional assessment activity if required to confirm the result.



## Stage 5 – Decision making

What to consider	Role of the assessor working with applicants
Is the candidate competent?	Review the evidence as a whole rather than attempting to make decision based on individual pieces of evidence.
How should feedback be given?	Be prepared to interview the candidate following assessment and plan how to give feedback.
Ramifications of decision for candidates: <ul style="list-style-type: none"><li>• Issue of qualification?</li><li>• Need for reassessment?</li><li>• Need for further training?</li><li>• Pay increase/promotion or not?</li></ul>	Include the candidate in the feedback process – how did they feel about the assessment process?
When and how should the assessment process be reviewed?	Regardless of the decision – competent or not yet competent – provide feedback on the strengths and weaknesses of their performance/ evidence and future options, including appeals
Who should be involved in reviewing the process?	Review the assessment process with the candidate and other stakeholders such as employers.

The following two case studies illustrate issues faced by assessors in making recognition decisions:

### Case Study – Decision making 1

Alexi, an experienced assessor of the Diploma and Certificate IV qualifications in Business Administration was faced with a dilemma.

His candidate for recognition assessment at Diploma level, Sarah, had provided excellent documentary evidence and had also answered all of his questions effectively, providing examples of what she would do in specific situations by talking about what she had done in the past.

Sarah's supervisor, Rajeev, had cast doubt on her abilities as an effective team leader when filling in the third party report form, and stated in the comments section "Sarah works well as a member of a team, but has trouble when taking on a leadership role. She becomes very autocratic and fails to develop effective workplace relationships to gain cooperation."



Faced with conflicting evidence, what could or should Alexi do next?

- Alexi clearly needs to collect more evidence until he has proof that Sarah is competent, OR proof that Sarah needs further training, or to undertake a workplace project, or some other activity, in order to develop to the point of competence.
- Some possible means of collecting that evidence might include using workplace third parties other than Sarah's immediate supervisor to gain a broader picture of her performance – with her agreement of course.

## Case Study – Decision making 2

A large organisation employed approximately 250 people in low- to middle-level management positions. The vast majority had been promoted through the ranks on the basis of their technical expertise or their success in operational roles so had no formal qualifications, or training, in management. The Human Resources Director was conscious of a need to focus attention on the importance of developing and recognising managerial competence throughout the organisation and she engaged an RTO to provide initial recognition services to assess the extent of recognition of existing skills that could be given and to come up with a training plan so the target group could achieve a qualification.

After initial consultation, it was agreed that the Diploma of Business Administration was the most appropriate qualification, and recognition assessment commenced. The process included:

- Initial information sessions for staff to decide if they wished to apply
- Information kits setting out qualification information and explaining the process of recognition assessment, including the time commitment required and the possible outcomes.
- A half-day workshop about the evidence required to meet the competencies included in the qualification for the pilot group of twenty managers
- A peer assessment day within the group of managers, where each others' evidence was discussed and evaluated in small groups
- Submission of evidence and an assessment interview with a panel of three assessors – two from the RTO and one from the company.

The assessors found most of the twenty managers had good evidence of workplace practice to match the outcomes of the units of competency. Many however, lacked a base of knowledge to support this practice – and therefore the ability to choose from a range



of approaches to situations, or to explain/support their actions/decisions. As the AQF descriptor for Diploma qualifications requires competent people to “apply knowledge and skills to demonstrate autonomy, judgement and defined responsibility in known or changing context and within broad but established parameters” (AQF Second Edition January 2013), the panel of assessors faced a dilemma: Should lack of knowledge, in the face of apparently competent performance, mean all the managers would need to complete training for most competencies?

The decision was taken to give the managers the opportunity to gain knowledge commensurate with their skills through a two-part action plan:

## Part 1

Develop an annotated bibliography of recently published materials about management – books, journals, research papers, articles and so on. List these in a bibliography and then annotate this by summarising the key points learned from the publication, and then describing how that learning could be applied to their workplace practice. No set number of publications was required, but it was required that the references be in alignment with the competencies being sought.

## Part 2

Develop an individual action plan for continued professional development as a manager. This could include attending conferences, short courses, further education/training, subscriptions to relevant magazines and journals, setting up a workplace discussion forum and any other relevant activity the candidate wished to include.

This opportunity was taken up enthusiastically and nineteen of the initial group of twenty managers were subsequently assessed as competent and received the Diploma of Business Administration.

Consider the following points in relation to the case study:

- When making decisions, the assessor must always refer to the requirements of the unit of competency and qualification level, as well as workplace requirements, and then assess the evidence against the rules for assessment evidence
- Lack of ‘historical’ evidence is not necessarily a barrier to the successful completion of a recognition process if the process can be used to generate evidence required.



## Stage 6 – What next?

What to consider	Role of the assessor working with applicants
<p>How/when will statements of attainment and qualifications be issued?</p> <p>If necessary, how will a learning plan be developed with the candidate?</p> <p>What support services might candidates need to be referred to e.g. career advice?</p> <p>How does the assessor complete and record/report the process?</p>	<p>Explain to candidates how/when their qualifications will be issued – this should have been done at the initial briefing, but bears repeating here.</p> <p>Ask the candidate what further development/support they would like.</p> <p>Be prepared to make suggestions for further actions or support.</p> <p>Complete documentation, e.g. action plans or assessment reports.</p>

Reflection Activity	<p>Think about your experience as a recognition assessor.</p> <ol style="list-style-type: none"><li>1. Think about the RTO/s you work for.</li><li>2. Can you think of examples of each component of the 6 step model from your own experience?</li><li>3. Which components are implemented well and which not so well at your RTO?</li><li>4. What suggestions</li></ol>
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## The Six Step Recognition Model in action

Locate the recognition policy, procedures and any forms or documents specifically used for recognition at the RTO where you are employed.

How do these documents match up to the framework described above?

Use the checklist to identify possible improvements (i.e. areas not ticked):

Features of effective recognition processes	Tick if present
The context for recognition is clearly established, explained and/or acknowledged.	
Sufficient information is supplied:	
a. for assessors to know what to do	
b. for candidates to understand the process, and expectations of them	
c. to describe the possible outcomes and consequences for candidates.	
The required evidence is clearly explained (or the process of negotiating the evidence) and the rules for assessment evidence are adhered to.	
The assessment process is clearly explained and there are documents forms to allow the collection and evaluation of evidence.	
Assessment decision making is explained and the process of providing feedback to candidates once a decision is made.	
Candidates have the right of reply and appeal.	
Possible follow-up actions include re-assessment, further training, language, literacy and/or numeracy support, gap training, referral for career advice.	
Appropriate records are kept.	



# RPL Evidence List for Enrolment

The following list are the minimum requirements that you will be required to produce as components of the assessment process. If you cannot produce these requirements you should consider not enrolling until such time as you can. There is also a strong possibility that you will be required to produce more work based evidence than what is listed as the RPL proceeds

<b>RPL Document Checklist</b>		✓
Application Form	<ul style="list-style-type: none"> <li>Must be complete and signed with a response in every section.</li> </ul>	
100 points ID	<ul style="list-style-type: none"> <li>Passport, Birth Certificate – 70 points</li> <li>Driver Licence – 40 points</li> <li>Medicare card, Credit Card – 25 points</li> <li>Certified by a JP or appropriate person (see page 16)</li> </ul>	
Resume	<ul style="list-style-type: none"> <li>Must describe work history and what was performed in the jobs plus personal details</li> </ul>	
White Card	<ul style="list-style-type: none"> <li>If the industry you are applying to demands it</li> <li>Certified by a JP or appropriate person (see page 16)</li> </ul>	
<b>Applicant Details</b>		
References and an Employment letter	<ul style="list-style-type: none"> <li>Two (2) referee's details</li> <li>Employment letter must be from one (1) of these referees.</li> <li>Describing Duties Included &amp; Position Held</li> </ul>	
Payslips Or Tax return	<ul style="list-style-type: none"> <li>Payslips for six (6) months as a minimum</li> <li>Tax return – most recent returns</li> </ul>	
<b>Sole Trader / Sub – Contractor / Self - Employed</b>		
Reference letter from contractors/clients/stakeholders	<ul style="list-style-type: none"> <li>From people who you have done work for</li> </ul>	
Business name Registration	<ul style="list-style-type: none"> <li>Certified by a JP or appropriate person (see page 16)</li> </ul>	
Insurance	<ul style="list-style-type: none"> <li>Current</li> <li>Certified by a JP or appropriate person (see page 16)</li> </ul>	
Invoices to clients Or Contractors	<ul style="list-style-type: none"> <li>Copies</li> </ul>	
Receipts for materials purchased	<ul style="list-style-type: none"> <li>From your suppliers</li> </ul>	
<b>Photographs and Videos</b>		
Two (2) photos performing jobs	<ul style="list-style-type: none"> <li>For each unit of competency – different to the videos</li> </ul>	
Videos performing jobs	<ul style="list-style-type: none"> <li>Four (4) different units of competency – minimum of one (1) minute each</li> </ul>	



# Part Two

## The Process

The Recognition of Prior Learning (RPL) Assessment Kit, that will be used to determine your competency is divided into sections to permit easy access to only the sections that will be required at any given time for any applicant as determined by the Assessor. These sections are:

### Part One - Section One - Assessor Information

This section contains information that the assessor must be aware of before conducting an assessment or commencing any assessment procedure. It outlines the intent and processes surrounding this RPL assessment process and how it differs from assessments undertaken following formal training. It must be emphasised that an RPL process is not a determination of initial competency for a Unit of Competency or a qualification, but a confirmation of competency as petitioned by the applicant. Therefore, this document is not in a format to determine initial competency but to confirm existing competency.

**Note:** *Part One Section Three provides the Elements, Performance Criteria and the Critical Aspects/Assessment Conditions for assessment and evidence required to demonstrate competency in this unit. It is essential that an Assessor become conversant with this Section before the commencement of an RPL process.*

### Part One - Section Two - Competency Summary

The evidence summary is for the completed outcome of this RPL process. To be valid it must be signed by both the Applicant and the RTO Assessor.

### Part One - Section Three - Assessment Mapping Tables

This section provides all the UOC, the elements, the performance information and the critical aspects that are to be used as the reference tools for the Assessor to see, at a glance, the requirements for the outcome of Satisfactory (S) or Not Satisfactory (NS). All the elements and performance criteria within the units of competency are cross-matched in this table with a corresponding assessment question/task/scenario (mapping). This provides transparency for the process and the opportunity to validate the assessment process against the qualification.

### Part Two – Section One - Candidate Information and Application Forms

This Part (completed by the applicant) provides the assessor with valid information that the applicant has achieved skills and knowledge to proceed further with the application. A lack of valid information will result in a conclusion to the process. It advises applicants about the assessment process as well as containing required forms for the applicant to complete. From the information provided by the applicant





on these forms, it will develop a portfolio of evidence to permit an assessor to gain a general understanding of the skills and experience the applicant has, as well as referee contacts.

## Part Two – Section Two – Self Assessment Evidence

This section is to provide documentary and visual evidence to validate claims of currency from the Application Self-Assessment Questionnaire from Section One including the capabilities and evidence of the applicant's abilities. It is suggested that the applicant should be included in any photographs to validate authenticity and each photograph is to be referenced to a UOC. Videos are to validate currency of skills. There is a requirement for a minimum of six (6) five (5) minute minimum videos of different processes for different UOC. Evidence for the provided table can be:

- Relevant Text Documents about previous work practices;
- Certificates gained from formal and Informal training;
- Workplace visit reports by the Assessor;
- Photographs; and
- Videos.

For each UOC for the qualification there is a requirement of a minimum of two (2) separate pieces of evidence. E.g. A relevant text document and a photograph identified a referenced to a UOC.

E.g.

1. *Set out a full-size L shape building on a relatively level site to specifications and within Local Government laws.* This is a direct task from the Training Package that an applicant must be able to do to achieve the UOC - CPCCCA3002A *Carry out setting out*. A straight forward task requires no further instruction context or customisation; but
2. *CPCCCM1013A Plan and organise individual and group work activities on a construction site.* This is more an indirect task outcome where you, as the assessor, will need to set assessment parameters (customise) to achieve the required outcome. The skills are transferable, but worksite conditions could vary dramatically such as a single storey construction as compared to a multi-storey site. The task is the same, but the context and its application are very different and therefore a single task cannot be set.

## Part Two - Section Three - Referee Testimonials

This section is designed to be given to current employers, previous employers and/or referees to confirm the applicant's skills and experience in this qualification/occupation and when they were achieved. The referees may fill out the appropriate form and return to you to confirm your judgement. It is suggested that this evidence may be able to be gathered in person during a workplace visit. This form of evidence can be sufficient when combined with Sections 2 and 3 to confirm competency and when the Competency Conversation (Part Three Section One) and the Challenge Tests (Part Four, Section One) may not be required to confirm competency.

## Part Three – Section One - Competency Conversation

This section is to be used to determine and record applicant's competence by a competency conversation. It is advised that the listed questions are a guide to commence a probing conversation



with the applicant and are specifically designed to assist the assessor in the confirmation of an applicant's competency; it is a recommended requirement that the listed questions are not sufficient and should be considered inadequate to confirm competency and additional questions must be used to probe for further information. Additional questions and responses must be recorded. The recording of notes that the assessor takes about this conversation are important evidence for competency determination. There are no defined correct answers to any additional questions as these questions are to be designed by the assessor to create conversation and not as a test or examination but to determine the knowledge of the applicant about individual UOC.

This form of evidence can be sufficient when combined with Part 2 to confirm competency and the Challenge Tests (Part Four) may not be required to confirm competency.

### **Part Four - Section One – Challenge Tests and Observation Recording Forms**

this section is used as the final confirmation process, to assess competencies through a Challenge Test demonstration of the applicant's skills. It contains practical tasks/scenarios on the outcomes required to determine competency and a place to record your observation.

The notes the assessor takes are critical components of the required evidence for an assessment determination. It is not necessary to skill test any applicant if it can be determined by other/earlier assessment/recognition methods that competency has been achieved/confirmed. The conclusion of this section requires the assessor to confirm or decline competency for a Unit of Competency or a qualification with an outcome of Competent or Not Yet Competent for the application.

**Note:** It must be noted that any Unit of Competency, that is not packaged as a qualification, confirmed as Competent will be acknowledged by the issue of a Statement of Attainment.



The following information is about the units of competency (UOC) that are most accepted for the qualification of:

# **BSB41415**

## **Certificate IV in Work Health and Safety**

As the candidate, you are able to select elective UOC that may suit your individual skill set better than those offered in this Recognition of Prior Learning Kit (RPL) but please Note:

Not all electives are packaged within this RPL Kit and for candidates who desire to undertake alternate electives the RTO must determine if we have the personnel to conduct the assessment process and the kit will need to be adjusted accordingly. The evaluation will require 2-3 days to complete. Approved adjustments will take approximately 10 -14 working days after the evaluation.

To review the available elective UOC please review  
<http://training.gov.au/Training/Details/BSB41415>

As an applicant, you must be able to provide evidence that you have completed all of these tasks that are described in the following pages. Remember that, if you require to demonstrate these skills in a workplace you must have access to that workplace and the required permissions to invite an assessor on – site for the assessment process.



# Certificate IV Qualification Type Descriptor

<b>Purpose</b>	The Certificate IV qualifies individuals who apply a broad range of specialised knowledge and skills in varied contexts to undertake skilled work and as a pathway for further learning
<b>Knowledge</b>	Graduates of a Certificate IV will have broad factual, technical and theoretical knowledge in a specialised field of work and learning
<b>Skills</b>	<p>Graduates of a Certificate IV will have:</p> <ul style="list-style-type: none"><li>• cognitive skills to identify, analyse, compare and act on information from a range of sources</li><li>• cognitive, technical and communication skills to apply and communicate technical solutions of a non-routine or contingency nature to a defined range of predictable and unpredictable problems</li><li>• specialist technical skills to complete routine and non-routine tasks and functions</li><li>• communication skills to guide activities and provide technical advice in the area of work and learning</li></ul>
<b>Application of knowledge and skills</b>	<p>Graduates of a Certificate IV will demonstrate the application of knowledge and skills:</p> <ul style="list-style-type: none"><li>• to specialised tasks or functions in known or changing contexts</li><li>• with responsibility for own functions and outputs, and may have limited responsibility for organisation of others</li><li>• with limited responsibility for the quantity and quality of the output of others in a team within limited parameters</li></ul>
<b>Volume of learning</b>	The volume of learning of a Certificate IV is typically 0.5 – 2 years. There may be variations between short duration specialist qualifications that build on knowledge and skills already acquired and longer duration qualifications that are designed as entry level requirements for work

*AQF 2nd Edition January 2013*



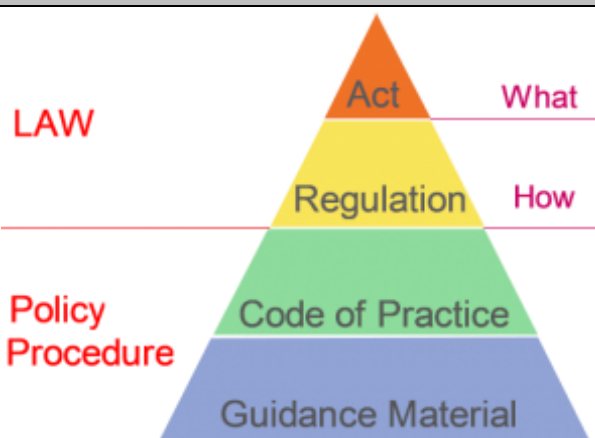
## Units of Competency

BSBWHS402 Assist with compliance with WHS laws	Core
BSBWHS403 Contribute to implementing and maintaining WHS consultation and participation processes	Core
BSBWHS404 Contribute to WHS hazard identification, risk assessment and risk control	Core
BSBWHS405 Contribute to implementing and maintaining WHS management systems	Core
BSBWHS406 Assist with responding to incidents	Core
BSBMGT502 Manage people performance	Elective
BSBSUS401 Implement and monitor environmentally sustainable work practices	Elective
BSBWHS408 Assist with effective WHS management of contractors	Elective
BSBWHS409 Assist with workplace monitoring processes	Elective
BSBWHS410 Contribute to work-related health and safety measures and initiatives	Elective

**Note:** Core UOC cannot be changed



## BSBWHS402 Assist with compliance with WHS laws



Assist with determining the legal framework for WHS in the workplace	<ul style="list-style-type: none"> <li>1.1 Access current WHS legislation and related documentation relevant to the organisation's operations</li> <li>1.2 Use knowledge of the relationship between WHS Acts, regulations, codes of practice, standards and guidance material to assist with determining legal requirements in the workplace</li> <li>1.3 Assist with identifying and confirming the duties, rights and obligations of individuals and parties as specified in legislation</li> <li>1.4 Assist with seeking advice from legal advisers where necessary</li> </ul>
Assist with providing advice on WHS compliance	<ul style="list-style-type: none"> <li>2.1 Assist with providing advice to individuals and parties about their legal duties, rights and obligations, and the location of relevant information in WHS legislation</li> <li>2.2 Assist with providing advice to individuals and parties about the functions and powers of the WHS regulator and how they are exercised, and the objectives and principles underpinning WHS</li> </ul>
Assist with WHS legislation compliance measures	<ul style="list-style-type: none"> <li>3.1 Assist with assessing how the workplace complies with relevant WHS legislation</li> <li>3.2 Assist with determining the WHS training needs of individuals and parties, and with providing training to meet legal and other requirements</li> <li>3.3 Assist with developing and implementing changes to workplace policies, procedures, processes and systems that will achieve compliance</li> </ul>



Performance Evidence	Knowledge Evidence
<p>Evidence of the ability to assist with:</p> <ul style="list-style-type: none"><li>• Determining current work health and safety (WHS) legal requirements for the workplace</li><li>• Providing advice to parties and individuals about current WHS legal requirements for the workplace, including underpinning principles, legal duties, rights and obligations and WHS regulator functions and powers</li><li>• Assessing workplace compliance with WHS legislative requirements</li><li>• Determining the training needs of individuals and parties in relation to WHS requirements</li><li>• Developing and implementing workplace changes in order to achieve WHS legal compliance.</li></ul> <p>Note: If a specific volume or frequency is not stated, then evidence must be provided at least once.</p>	<p>To complete the unit requirements safely and effectively, the individual must:</p> <ul style="list-style-type: none"><li>• Detail the duties, rights and obligations of individuals and parties as specified in relevant WHS legislation, and specify the location of relevant information on WHS legislation</li><li>• Describe the functions and powers of the relevant WHS regulator and how they are exercised</li><li>• Identify internal and external sources of WHS information, and how to access them</li><li>• Outline the objectives and principles underpinning WHS legislation</li><li>• Specify method/s used for:<ul style="list-style-type: none"><li>• Assessing WHS compliance</li><li>• Determining training needs in relation to WHS compliance</li><li>• Implementing changes to achieve WHS compliance.</li></ul></li></ul>
Assessment Conditions	
<p>Assessment must be conducted in a safe environment where evidence gathered demonstrates consistent performance of typical activities experienced by individuals carrying out work health and safety duties in the workplace and include access to:</p> <ul style="list-style-type: none"><li>• Relevant Acts, regulations, codes of practice, standards and guidance material</li><li>• Relevant workplace documentation</li><li>• Reports from individuals and parties consulted in ensuring WHS compliance</li><li>• Case studies and, where possible, real situations</li><li>• Interaction with others.</li></ul> <p>Assessors must satisfy NVR/AQTF assessor requirements. In addition, assessors for this unit of competency must hold a WHS qualification or equivalent at Diploma level or higher.</p>	



## BSBWHS403 Contribute to implementing and maintaining WHS consultation and participation processes

### Contribute to review and improvement of WHSMS

*A/S 4801-2001  
Provides framework  
in implementing  
health and safety.*



*Communicate, apply  
of implementation  
Of WHS requirements  
to the appropriate  
organization*

*Contribute the  
implementation  
of WHS plan to  
appropriate job role*

*Facilitate, support  
participation,  
consultation with  
individuals and parties  
in implementing WHS plan*

### Contribute & develop policy & commitments

- Process & system
- Policy & commitments
- Identify requirements & opportunities
- Consultation & participation
- Evaluate and review
- Implementation



Identify individuals and parties involved in WHS consultation and participation processes	<p>1.1 Apply knowledge of relevant parts of WHS Acts, regulations, codes of practice, policies and procedures to identify individuals and parties with roles, duties, rights and responsibilities regarding WHS consultation and participation</p> <p>1.2 Identify what these roles, duties, rights and responsibilities are and, in line with own job role and work area, communicate this information to individuals and parties</p> <p>1.3 Identify roles, duties, rights and responsibilities as they apply to own job role and work area</p>
Contribute to WHS consultation and participation processes	<p>2.1 Identify workplace WHS consultation and participation processes</p> <p>2.2 Contribute to setting up and running these processes as appropriate to own job role and work area</p> <p>2.3 Communicate to individuals and parties what these processes are and promote and support the participation of individuals and parties as appropriate to own job role and work area</p>
Contribute to processes for communicating and sharing WHS information and data	<p>3.1 Identify consultation and participation processes for communicating and sharing WHS information and data</p> <p>3.2 Contribute to and participate in these processes, as appropriate to own job role and work area</p>
Contribute to identifying and meeting training requirements for effective WHS consultation and participation	<p>4.1 Identify training requirements for individuals and parties necessary for effective WHS consultation and participation</p> <p>4.2 Contribute to the delivery of required training as appropriate to own job role and work area</p>
Contribute to improving WHS consultation and participation processes	<p>5.1 Contribute to the identification and assessment of barriers to the implementation and effectiveness of WHS consultation and participation processes</p> <p>5.2 Contribute to the development, implementation and evaluation of measures to remove these barriers</p>





Performance Evidence	Knowledge Evidence
<p>Evidence of the ability to:</p> <ul style="list-style-type: none"><li>• Explain clearly and accurately to individuals and parties the legal roles, duties, rights and responsibilities of self and others regarding work health and safety (WHS) consultation and participation processes</li><li>• Contribute, as appropriate to job role and work area, to:<ul style="list-style-type: none"><li>• Setting up and running WHS consultation and participation processes to ensure that relevant individuals and parties understand and can participate in the processes</li><li>• Identifying training needs to support the WHS consultation and participation processes and providing learning opportunities, coaching and mentoring as appropriate to needs</li><li>• Communicating information and data about WHS consultation and participation processes</li><li>• Identifying barriers to effective WHS consultation and participation and developing, implementing and evaluating measures to remove the barriers.</li></ul></li></ul> <p>Note: If a specific volume or frequency is not stated, then evidence must be provided at least once.</p>	<p>To complete the unit requirements safely and effectively, the individual must:</p> <ul style="list-style-type: none"><li>• Describe requirements under WHS legislation and organisational policies and procedures for consultation and participation processes and the individuals and parties who need to participate</li><li>• Describe possible barriers to the implementation and effectiveness of WHS consultation and participation processes and strategies to remove them</li><li>• Identify internal and external sources of WHS information and data and how to access them</li><li>• Describe training requirements for individuals and parties necessary for effective WHS consultation and participation processes</li></ul>
Assessment Conditions	
<p>Assessment must be conducted in a safe environment where evidence gathered demonstrates consistent performance of typical activities experienced by individuals carrying out work health and safety duties in the workplace and include access to:</p> <ul style="list-style-type: none"><li>• Office equipment and resources</li><li>• Relevant acts, regulations, codes of practice, standards and guidelines</li><li>• Workplace documentation and personnel.</li></ul> <p>Assessors must satisfy NVR/AQTF assessor requirements.</p>	



## BSBWHS404 Contribute to WHS hazard identification, risk assessment and risk control



Severity	Consequence				Likelihood				
	People	Assets	Environment	Reputation	1	2	3	4	5
					Very unlikely	Unlikely	Unusual but Possible	Quite Possible	Almost Certain
1	First Aid	Slight Damage	Slight effect	Slight Impact					
2	Minor Injury	Minor Damage	Minor effect	Minor Impact		LOW	RISK		
3	Serious Injury	Moderate Damage	Moderate effect	Moderate Impact			MEDIUM	RISK	
4	Fatality	Major Damage	Major effect	Major Impact				HIGH	RISK
5	Multiple fatality	Massive Damage	Massive effect	Massive Impact					

Access information to identify hazards and assess and control risks	1.1 Identify sources of information and data 1.2 Obtain information and data to determine the nature and scope of workplace hazards, the range of harms they may cause and how these harms are caused 1.3 Obtain information and data to determine the nature and scope of workplace risks and risk controls
Contribute to compliance and workplace requirements	2.1 Contribute to identifying and complying with requirements of workplace policies, procedures, processes and systems for hazard identification, risk assessment and risk control activities 2.2 Contribute to identifying and complying with requirements of WHS Acts, regulations, codes of practice and guidelines for hazard identification, risk assessment and risk control activities 2.3 Identify duty holders and their range of duties
Contribute to workplace hazard identification Contribute to WHS risk assessment	3.1 Use knowledge of hazards to advise individuals and parties of workplace hazards, the harms they may cause and how these harms are caused 3.2 Apply knowledge of hazard identification to contribute to selecting techniques, tools and processes to identify workplace hazards 3.3 Contribute to applying selected techniques, tools and processes 3.4 Contribute to documenting hazard identification process and results
Contribute to the development, implementation and evaluation of risk control	4.1 Apply knowledge of risk assessment to contribute to selecting techniques, tools and processes for risk assessment of hazards 4.2 Contribute to applying techniques, tools and processes to identified hazards 4.3 Contribute to documenting the results of risk assessments
Contribute to the development, implementation and evaluation of risk control	5.1 Apply knowledge of risk control to contribute to developing risk control options for identified hazards, using the results of risk assessments 5.2 Contribute to developing and implementing a risk control plan 5.3 Contribute to evaluating implemented risk controls



Performance Evidence	Knowledge Evidence
<p>Evidence of the ability to:</p> <ul style="list-style-type: none"><li>• Identify and interpret information and data about work health and safety (WHS) requirements and apply it to the selection and application of techniques, tools and processes for hazard identification, risk assessment and risk control and the development of a risk control plan</li><li>• Contribute to documenting and evaluating risk management processes</li><li>• Communicate about WHS requirements and compliance with a range of people</li><li>• Comply with WHS requirements for hazard identification, risk assessment and risk control activities</li><li>• Identify WHS duty holders and their duties.</li></ul> <p>Note: If a specific volume or frequency is not stated, then evidence must be provided at least once.</p>	<p>To complete the unit requirements safely and effectively, the individual must:</p> <ul style="list-style-type: none"><li>• Outline the WHS risk management (hazard identification, risk assessment and risk control) requirements specified in:</li><li>• Relevant WHS Acts and regulations</li><li>• Organisational WHS policies, procedures, processes and systems</li><li>• Explain the difference between hazards and risks in the work context</li><li>• Outline a range of common workplace hazards, the harms they may cause and how these harms are caused</li><li>• Explain how risk assessment and controls can eliminate or minimise risks</li><li>• Identify internal and external sources of WHS information and data and how to access them.</li></ul>
Assessment Conditions	
<p>Assessment must be conducted in a safe environment where evidence gathered demonstrates consistent performance of typical activities experienced by individuals carrying out work health and safety duties in the workplace and include access to:</p> <ul style="list-style-type: none"><li>• Office equipment and resources</li><li>• Relevant legislation, standards and guidelines</li><li>• Relevant policies, procedures, processes and systems</li><li>• Case studies and, where possible, real situations</li><li>• Interaction with others.</li></ul> <p>Assessors must satisfy NVR/AQTF assessor requirements.</p>	



## BSBWHS405 Contribute to implementing and maintaining WHS management systems

### Developing, Implementing and Maintaining WHS Management System

- ❖ Promote WHSMS implementation
- ❖ Contribute & developed policy & commitments
- ❖ Contribute to develop WHS plan
- ❖ Contribute of implementing WHS plan
- ❖ Contribute to measurement & evaluation of WHS
- ❖ Contribute to the review & improvement process



### Promote the implementation of WHSMS

#### ❖ Source Of Information:

- Australian Standard AS/NZS 4801 : 2001
- AS/NZS 4804 : 2001



- Industry association
- WHS acts, regulations, codes of practice, standards, guidelines & information issued by WHS regulator
- WHS professionals & WHS specialist.
- WHSMS tools, standard,& guidelines.

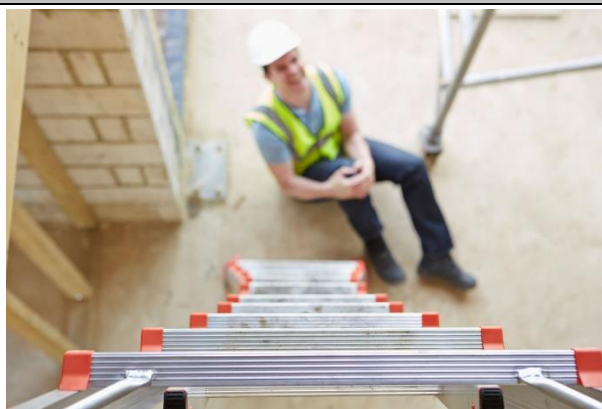
Contribute to developing and promoting WHS policy	1.1 Apply knowledge of the elements of WHS policy to contribute to the development and promotion of the policy as appropriate to own job role and work area 1.2 Seek the contribution and support of others in the development and promotion of WHS policy as appropriate to own job role and work area 1.3 Apply WHS policy to own and others' job roles and work areas, and communicate and explain this to others
Contribute to WHSMS planning	2.1 Apply knowledge of WHS legislation to identify duty holders relevant to own job role and work area 2.2 Apply knowledge of the elements of a plan to contribute to planning as it applies to own job role and work area 2.3 Facilitate integration of return to work and injury management procedures into the WHSMS plan 2.4 Communicate and explain the planning process to others and facilitate their contributions to the plan
Contribute to implementing the WHSMS plan	3.1 Implement the plan as it applies to own job role and work area 3.2 Communicate and explain the plan to others in relation to their roles and responsibilities as specified in the plan 3.3 Facilitate the contribution of others to implementing the plan
Contribute to evaluating WHS performance	4.1 Apply knowledge of elements of WHS performance evaluation processes and methods to contribute to evaluation as it applies to own job role and work area 4.2 Communicate and explain evaluation of WHS performance to others and facilitate their contribution
Contribute to reviewing and improving the WHSMS	5.1 Apply knowledge of elements of processes and methods to contribute to the review and improvement of WHS performance as it applies to own job role and work area 5.2 Communicate and explain review and improvement of the WHSMS to others and facilitate their contribution



Performance Evidence	Knowledge Evidence
<p>Evidence of the ability contribute, as appropriate to own job role and work area, to:</p> <ul style="list-style-type: none"><li>• Developing work health and safety (WHS) policy</li><li>• Planning the Work Health and Safety management system (WSHMS) to incorporate return-to-work and injury management procedures and other elements relevant to the work area</li><li>• Communicating and explaining WHS policy and the WSHMS to others to facilitate their contribution in developing, implementing and evaluating the systems</li><li>• Implementing the plan</li><li>• Evaluating WHS performance and communicating the outcomes</li><li>• Reviewing and improving the WSHMS.</li></ul> <p>Note: If a specific volume or frequency is not stated, then evidence must be provided at least once.</p>	<p>To complete the unit requirements safely and effectively, the individual must:</p> <ul style="list-style-type: none"><li>• Outline the elements of the organisation's WSHMS with reference to the relevant commonwealth and state or territory WHS Acts, regulations, codes of practice and standards.</li><li>• Identify regulatory authority WSHMS tools, standards and guidance material and explain how they apply to the work area</li><li>• Explain the importance of effective return-to-work and injury management in a WSHMS</li><li>• Identify limitations of a WSHMS, problems with WSHMS implementation and possible negative effects on WHS</li><li>• Outline organisational WHS policies, procedures, processes and systems and how they apply to the work area.</li></ul>
Assessment Conditions	
<p>Assessment must be conducted in a safe environment where evidence gathered demonstrates consistent performance of typical activities experienced by individuals carrying out work health and safety duties in the workplace and include access to:</p> <ul style="list-style-type: none"><li>• Office equipment and resources</li><li>• Relevant Acts, regulations, codes of practice, standards and guidelines</li><li>• Workplace WHS policies and procedures.</li></ul> <p>Assessors of this unit must satisfy the requirements for assessors in applicable vocational education and training legislation, frameworks and/or standards.</p>	



## BSBWHS406 Assist with responding to incidents



Assist with identifying legislative and other requirements	<ul style="list-style-type: none"> <li>1.1 Apply knowledge of work health and safety (WHS) legislation to identify duty holders and legislative requirements regarding responding to incidents</li> <li>1.2 Apply knowledge of workplace policies, procedures and processes to identify workplace requirements regarding responding to incidents</li> <li>1.3 Communicate requirements to individuals and parties appropriate to own job role and work area</li> </ul>
Assist with implementing initial incident response procedures	<ul style="list-style-type: none"> <li>2.1 Assist with providing first aid according to workplace procedures and processes, where necessary</li> <li>2.2 Assist with notifying, reporting and documenting incidents according to workplace procedures and processes</li> <li>2.3 Assist with meeting legislative requirements regarding incidents, where necessary</li> </ul>
Assist with collecting WHS information and data relevant to an investigation	<ul style="list-style-type: none"> <li>3.1 Assist with obtaining information and data from those involved using appropriate data collection techniques, about actions and events leading up to, occurring during or after, an incident</li> <li>3.2 Assist with identifying and accessing sources of additional information and data related to an incident</li> </ul>
Assist incident investigations	<ul style="list-style-type: none"> <li>4.1 Assist investigators and provide relevant information during investigations</li> <li>4.2 Use appropriate techniques when participating in workplace investigations</li> <li>4.3 Review reports on incidents, injuries and illnesses</li> <li>4.4 Contact responsible persons and relevant authorities when required</li> </ul>
Assist in implementing recommended measures and actions arising from investigations	<ul style="list-style-type: none"> <li>5.1 Communicate recommendations arising from investigations to relevant others</li> <li>5.2 Assist with measures and actions appropriate to own job role and work area</li> </ul>



Performance Evidence	Knowledge Evidence
<p>Evidence of the ability to, as appropriate to job role and work area, assist with:</p> <ul style="list-style-type: none"><li>Identifying Work Health and Safety (WHS) legislative and organisational requirements and duty holders in relation to responding to WHS incidents</li><li>Communicating relevant WHS requirements clearly and accurately to individuals and parties</li><li>Providing first aid according to workplace procedures and processes</li><li>Reporting, notifying and documenting incidents, and meeting legislative requirements</li><li>Obtaining information about incidents using appropriate data collection techniques</li><li>Investigating incidents and communicating and implementing recommendations from investigations.</li></ul> <p>Note: If a specific volume or frequency is not stated, then evidence must be provided at least once.</p>	<p>To complete the unit requirements safely and effectively, the individual must:</p> <ul style="list-style-type: none"><li>Explain hierarchy of control and considerations for choosing between different risk controls including possible inadequacies of particular risk controls</li><li>Identify internal and external sources of WHS information and data, and how to access</li><li>Outline the organisation's WHS policies, procedures, processes and systems relevant to own job role or work area that relate to WHS incidents and accidents including initial response and first aid, investigations and reporting</li><li>Explain own role and role of duty holders in responding to incidents.</li></ul>
Assessment Conditions	
<p>Assessment must be conducted in a safe environment where evidence gathered demonstrates consistent performance of typical activities experienced by individuals carrying out work health and safety duties in the workplace and include access to:</p> <ul style="list-style-type: none"><li>Organisational policies, standard operating procedures, procedures and plans</li><li>Relevant Acts, regulations, codes of practice, licensing requirements, standards</li><li>Relevant WHS data</li><li>Office equipment and resources</li><li>Interaction with others.</li></ul> <p>Assessors of this unit must satisfy the requirements for assessors in applicable vocational education and training legislation, frameworks and/or standards.</p>	





## BSBMGT502 Manage people performance



Allocate work	<ul style="list-style-type: none"> <li>1.1 Consult relevant groups and individuals on work to be allocated and resources available</li> <li>1.2 Develop work plans in accordance with operational plans</li> <li>1.3 Allocate work in a way that is efficient, cost effective and outcome focussed</li> <li>1.4 Confirm performance standards, Code of Conduct and work outputs with relevant teams and individuals</li> <li>1.5 Develop and agree performance indicators with relevant staff prior to commencement of work</li> <li>1.6 Conduct risk analysis in accordance with the organisational risk management plan and legal requirements</li> </ul>
Assess performance	<ul style="list-style-type: none"> <li>2.1 Design performance management and review processes to ensure consistency with organisational objectives and policies</li> <li>2.2 Train participants in the performance management and review process</li> <li>2.3 Conduct performance management in accordance with organisational protocols and time lines</li> <li>2.4 Monitor and evaluate performance on a continuous basis</li> </ul>
Provide feedback	<ul style="list-style-type: none"> <li>3.1 Provide informal feedback to staff on a regular basis</li> <li>3.2 Advise relevant people where there is poor performance and take necessary actions</li> <li>3.3 Provide on the job coaching when necessary to improve performance and to confirm excellence in performance</li> <li>3.4 Document performance in accordance with the organisational performance management system</li> <li>3.5 Conduct formal structured feedback sessions as necessary and in accordance with organisational policy</li> </ul>
Manage follow up	<ul style="list-style-type: none"> <li>4.1 Write and agree on performance improvement and development plans in accordance with organisational policies</li> <li>4.2 Seek assistance from human resources specialists, where appropriate</li> <li>4.3 Reinforce excellence in performance through recognition and continuous feedback</li> <li>4.4 Monitor and coach individuals with poor performance</li> <li>4.5 Provide support services where necessary</li> <li>4.6 Counsel individuals who continue to perform below expectations and implement the disciplinary process if necessary</li> <li>4.7 Terminate staff in accordance with legal and organisational requirements where serious misconduct occurs or ongoing poor performance continues</li> </ul>





Performance Evidence	Knowledge Evidence
<p>Evidence of the ability to:</p> <ul style="list-style-type: none"><li>• Consult with relevant stakeholders to identify work requirements, performance standards and agreed performance indicators</li><li>• Develop work plans and allocate work to achieve outcomes efficiently and within organisational and legal requirements</li><li>• Monitor, evaluate and provide feedback on performance and provide coaching or training, as needed</li><li>• Reinforce excellence in performance through recognition and continuous feedback</li><li>• Seek assistance from human resources specialists where appropriate</li><li>• Keep records and documentation in accordance with the organisational performance management system.</li><li>• Note: If a specific volume or frequency is not stated, then evidence must be provided at least once.</li></ul>	<p>To complete the unit requirements safely and effectively, the individual must:</p> <ul style="list-style-type: none"><li>• Outline relevant legislative and regulatory requirements</li><li>• Outline relevant awards and certified agreements</li><li>• Explain performance measurement systems utilised within the organisation</li><li>• Explain unlawful dismissal rules and due process</li><li>• Describe staff development options and information.</li></ul>
Assessment Conditions	
<p>Assessment must be conducted in a safe environment where evidence gathered demonstrates consistent performance of typical activities experienced in the management and leadership field of work and include access to:</p> <ul style="list-style-type: none"><li>• Relevant legislation</li><li>• Workplace documentation and resources</li><li>• Case studies and, where possible, real situations</li><li>• Interaction with others.</li></ul> <p>Assessors must satisfy NVR/AQTF assessor requirements.</p>	



## BSBSUS401 Implement and monitor environmentally sustainable work practices



### *The Three Spheres of Sustainability*



Investigate current practices in relation to resource usage	<ul style="list-style-type: none"> <li>1.1 Identify environmental regulations applying to the enterprise</li> <li>1.2 Analyse procedures for assessing compliance with environmental/sustainability regulations</li> <li>1.3 Collect information on environmental and resource efficiency systems and procedures, and provide to the work group where appropriate</li> <li>1.4 Collect, analyse and organise information from a range of sources to provide information/advice and tools/resources for improvement opportunities</li> <li>1.5 Measure and document current resource usage of members of the work group</li> <li>1.6 Analyse and document current purchasing strategies</li> <li>1.7 Analyse current work processes to access information and data to assist in identifying areas for improvement</li> </ul>
Set targets for improvements	<ul style="list-style-type: none"> <li>2.1 Seek input from stakeholders, key personnel and specialists</li> <li>2.2 Access external sources of information and data as required</li> <li>2.3 Evaluate alternative solutions to workplace environmental issues</li> <li>2.4 Set efficiency targets</li> </ul>
Implement performance improvement strategies	<ul style="list-style-type: none"> <li>3.1 Source and use appropriate techniques and tools to assist in achieving efficiency targets</li> <li>3.2 Apply continuous improvement strategies to own work area of responsibility, including ideas and possible solutions to communicate to the work group and management</li> <li>3.3 Implement and integrate environmental and resource efficiency improvement plans for own work group with other operational activities</li> <li>3.4 Supervise and support team members to identify possible areas for improved practices and resource efficiency in work area</li> <li>3.5 Seek suggestions and ideas about environmental and resource efficiency management from stakeholders and act upon where appropriate</li> <li>3.6 Implement costing strategies to fully utilise environmental assets</li> </ul>
Monitor performance	<ul style="list-style-type: none"> <li>4.1 Use and/or develop evaluation and monitoring, tools and technology</li> <li>4.2 Document and communicate outcomes to report on efficiency targets to key personnel and stakeholders</li> <li>4.3 Evaluate strategies and improvement plans</li> <li>4.4 Set new efficiency targets, and investigate and apply new tools and strategies</li> <li>4.5 Promote successful strategies and reward participants where possible</li> </ul>



Performance Evidence	Knowledge Evidence
<p>Evidence of the ability to:</p> <ul style="list-style-type: none"><li>Analyse information from a range of sources to identify current procedures, practices and compliance requirements in relation to environmental and resource sustainability</li><li>Consult and communicate with relevant stakeholders to seek input and encourage engagement with developing and implementing sustainability improvements, encourage feedback and suggestions and report on outcomes</li><li>Plan and organise work group activities to:<ul style="list-style-type: none"><li>Measure current resource usage</li><li>Solve problems and generate ideas for improvements</li><li>Evaluate and implement strategies to improve resource usage</li><li>Plan, implement and integrate improvements into operations</li><li>Meet environmental requirements</li></ul></li><li>Apply continuous improvement approach to sustainability performance</li><li>Apply change management techniques to support sustainability performance.</li><li>Note: If a specific volume or frequency is not stated, then evidence must be provided at least once.</li></ul>	<p>To complete the unit requirements safely and effectively, the individual must:</p> <ul style="list-style-type: none"><li>Identify relevant internal and external sources of information and explain how they can be used to identify sustainability improvements</li><li>Explain the compliance requirements for the work area with reference to legislation, regulations, codes of practice and workplace procedures that relate to environmental and resource issues</li><li>Outline common environmental and energy efficiency issues within the industry</li><li>Give examples of benchmarks for environmental and resource sustainability that are relevant to the organisation</li><li>Outline organisational systems and procedures that relate to environmental and resource sustainability improvements including:<ul style="list-style-type: none"><li>Supply chain, procurement and purchasing</li><li>Quality assurance</li><li>Making recommendations and seeking approvals</li></ul></li></ul>
Assessment Conditions	
<p>Assessment must be conducted in a safe environment where evidence gathered demonstrates consistent performance of typical activities experienced in the sustainability field of work and include access to:</p> <ul style="list-style-type: none"><li>Relevant legislation, regulations, standards and codes</li><li>Relevant workplace documentation and resources</li><li>Case studies or, where possible, real situations</li><li>Interaction with others.</li></ul> <p>Assessors of this unit must satisfy the requirements for assessors in applicable vocational education and training legislation, frameworks and/or standards.</p>	

**BSBWHS408 Assist with effective WHS management of contractors****Safe Work Method Statements**

A Safe Work Method Statement (SWMS) details how specific hazards and risks, related to the task they are completing, will be managed and is developed by the employer for their employees or by a sub-contractor.

They fulfill a number of objectives:

- They outline a safe method of work for a specific job.
- They provide an induction document that workers must read and understand before starting the job.
- They assist in meeting legal responsibilities for the risk management process, hazard identification, risk assessment and risk control.
- They assist in effectively coordinating the work, the materials required, the time required and the people involved to achieve a safe and efficient outcome.
- They are a quality assurance tool.



Assist with identifying existing contractor WHS arrangements

- 1.1 Apply knowledge of workplace to identify services supplied by contractors
- 1.2 Access contracts and other relevant contract documentation, information and data
- 1.3 Identify content relevant to contractor WHS arrangements
- 1.4 Assist with identifying workplace policies, procedures, processes, systems, practices and activities relevant to contractor WHS arrangements

Assist with evaluating contractor WHS arrangements and making improvements as required

- 2.1 Apply knowledge of WHS legislation to assist with determining if contracts and workplace policies, procedures, processes, systems, practices and activities comply with WHS legislative requirements
- 2.2 Apply knowledge of best practice and workplace WHS information and data to assist with evaluating effectiveness of contractor WHS arrangements
- 2.3 Assist with identifying areas of contractor WHS arrangements needing improvement
- 2.4 Assist with developing, implementing and evaluating improvements to contractor WHS arrangements

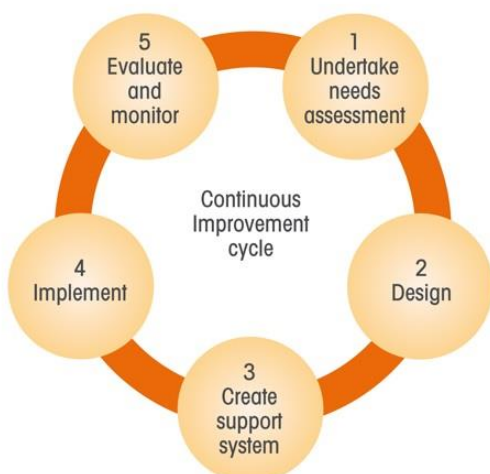


Performance Evidence	Knowledge Evidence
<p>Evidence of the ability to:</p> <ul style="list-style-type: none"><li>Assist with identifying existing contractor services including, labour hire and temporary workers, cleaning, catering, security, maintenance, repairs, installations and alterations and major contracts and projects as relevant to the organisation</li><li>Access contracts for the identified services including formal contracts to supply services, documents related to the contracts and any undocumented understandings and agreements</li><li>Assist in identifying contractor work health and safety (WHS) arrangements including actual contractor work processes, procedures and activities and organisational policies, procedures and systems</li><li>Assist with evaluating contractor WHS arrangements for compliance and effectiveness in terms of:<ul style="list-style-type: none"><li>WHS legislative requirements</li><li>Best practice</li><li>Workplace WHS information and data</li></ul></li><li>Assist with identifying areas of contractor WHS arrangements that need improvement and in developing, implementing and evaluating improvements.</li><li>Note: If a specific volume or frequency is not stated, then evidence must be provided at least once</li></ul>	<p>To complete the unit requirements safely and effectively, the individual must:</p> <ul style="list-style-type: none"><li>Describe the nature and range of the contexts, situations and arrangements where contractor services are supplied to the organisation</li><li>Outline contractor WHS arrangements with reference to the relevant commonwealth and state or territory WHS Acts, regulations, codes of practice and standards</li><li>Outline organisational WHS policies, procedures, processes and systems that are relevant to contractor services</li><li>List the duties, rights and obligations of individuals and parties as specified in relevant WHS legislation with regard to the supply of services to workplaces by contractors</li><li>Detail best practice in WHS management of contractors with regard to policies, procedures, processes, systems, methods and arrangements</li><li>Identify internal and external sources of information and data that are relevant to contractor WHS arrangements and how to access them.</li></ul>
Assessment Conditions	
<p>Assessment must be conducted in a safe environment where evidence gathered demonstrates consistent performance of typical activities experienced by individuals carrying out work health and safety duties in the workplace and include access to:</p> <ul style="list-style-type: none"><li>Relevant Acts, regulations, codes of practice, licensing requirements, standards</li><li>Relevant WHS data</li><li>Office equipment and resources</li><li>Case studies or, where possible, real situations</li><li>Interaction with others.</li></ul> <p>Assessors of this unit must satisfy the requirements for assessors in applicable vocational education and training legislation, frameworks and/or standards.</p>	



## BSBWHS409 Assist with workplace monitoring processes

### Work health programs—implementation



Assist with selecting measuring devices	1.1 Assist with identifying regulatory requirements and standards that apply to monitoring 1.2 Identify agent and/or condition to be measured through consultation with relevant individuals and parties 1.3 Identify characteristics of agent and/or condition 1.4 Determine the area where measurements are to be taken 1.5 Assist with identifying types of appropriate measuring equipment 1.6 Assist with the selection of measuring equipment according to the agent and/or condition, the environment, the activities being carried out and the level of risk to self 1.7 Recognise limits of own expertise and available equipment and seek expert advice and equipment as required
Assist with preparations to collect workplace information and data	2.1 Determine a sampling process 2.2 Consult with and advise those involved in workplace activities to collect information and data about the requirements, nature and purpose of the monitoring 2.3 Assist with defining a sampling plan after inspecting area and consulting with workers and affected parties about the nature of the problem 2.4 Assist with checking the operability of equipment
Assist with collecting workplace information and data	3.1 Assist with selecting and calibrating monitoring equipment, and selecting appropriate scale 3.2 Assist with tests 3.3 Assist with correct use and maintenance of equipment to collect information and data 3.4 Ensure own health and safety while collecting information and data, and record readings using expert support and advice as required 3.5 Assist with dismantling and cleaning equipment and parts, or dispose of appropriately 3.6 Assist with correctly storing equipment or making it ready for re-use as required
Assist with documenting and evaluating results of monitoring	4.1 Assist with interpreting and evaluating results against a recognised standard and documenting results 4.2 Assist with preparing reports on the monitoring process, including any regulatory requirements, and consider purposes of report and the target audiences 4.3 Assist with presenting required information and data clearly and logically 4.4 Assist with retaining results and records in a format that enables them to be readily retrieved according to regulatory requirements and standards





Performance Evidence	Knowledge Evidence
<p>Evidence of the ability to assist with processes for monitoring physical agents and/or conditions including:</p> <ul style="list-style-type: none"><li>Identifying regulatory requirements and standards that apply to monitoring of physical agents and/or conditions relevant to work health and safety (WHS)</li><li>Identifying the context of measurements to be undertaken including:<ul style="list-style-type: none"><li>Which physical agents and/or conditions will be measured and their characteristics</li><li>Where the measurements will be taken</li><li>Area or space available</li><li>Movements of people and equipment, tasks or activities being undertaken, number of persons occupying area and other factors that may impact on the sampling or data-collection processes</li></ul></li><li>Physical features of equipment, such as emitting sources</li><li>Preparing for and collecting workplace WHS data and information including:<ul style="list-style-type: none"><li>Selecting and calibrating appropriate equipment and selecting appropriate scale</li><li>Defining a sampling process and plan</li><li>Performing tests</li><li>Correct preparation, use, maintenance, cleaning storage and if required disposal of equipment</li></ul></li><li>Consultation and communication with individuals and parties about the requirements, purpose and nature of the monitoring</li><li>Interpreting and evaluating results of monitoring including calculations using appropriate units of measurement, logarithmic scales, decimals and order of magnitude relevant to making and interpreting measurements and measurement error</li><li>Preparing and presenting clear and logical reports that are appropriate to purpose of report and the target audience</li><li>Keeping records that meet regulatory requirements</li><li>Seek expert advice, support and equipment as required.</li><li>Ensure own safety during monitoring process.</li></ul> <p>Note: If a specific volume or frequency is not stated, then evidence must be provided at least once.</p>	<p>To complete the unit requirements safely and effectively, the individual must:</p> <ul style="list-style-type: none"><li>List typical physical agents and/or conditions relevant to WHS including:<ul style="list-style-type: none"><li>Biological agents, such as insects, mites and bacteria</li><li>Electricity</li><li>Fibres, dusts and particulates</li><li>Fumes, mists, gases and vapours</li><li>Heat and humidity</li><li>Light</li><li>Noise</li><li>Radiation, including ionising, non-ionising and laser</li><li>Vibration</li></ul></li><li>Outline aspects of WHS Acts, regulations, codes of practice and standards that are relevant to measuring physical agents and/or conditions and how they apply to the organisation</li><li>Explain the mode of action of common physical, biological and chemical agents on the body and how they produce discomfort or harm</li><li>List the characteristics, mode of action and units of measurement for major hazard types</li><li>Describe environmental conditions that impact on measurements</li><li>Explain types of measuring and monitoring equipment and techniques for correct and safe use including limitations on use and output, calibration, adjustment, maintenance and any in-built alarms.</li></ul>



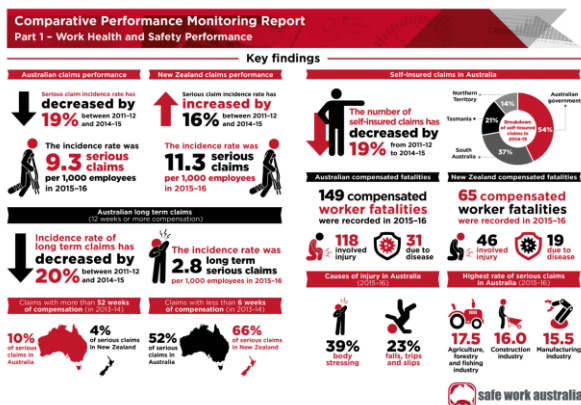
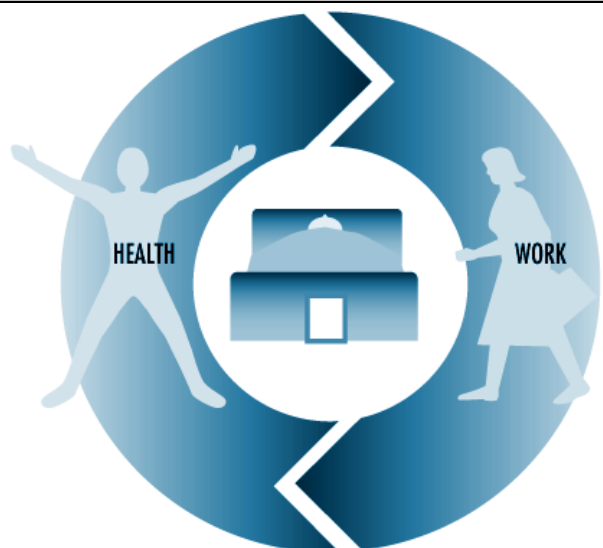
### Assessment Conditions

Assessment must be conducted in a safe environment where evidence gathered demonstrates consistent performance of typical activities experienced by individuals carrying out work health and safety duties in the workplace and include access to:

- Measuring devices and equipment
- Office equipment and resources
- Relevant acts, regulations, codes of practice, licensing requirements, standards
- Case studies and, where possible, real situations
- Interaction with others.

Assessors must satisfy NVR/AQTF assessor requirements.



**BSBWHS410 Contribute to work-related health and safety measures and initiatives**

Contribute to scoping work-related health and safety measures and initiatives	<ol style="list-style-type: none"><li>1.1 Access sources of information and data on work-related health and safety measures and initiatives that address specific legislative requirements and obligations, and those that support non-statutory health promotion programs</li><li>1.2 Differentiate between these two types of measures and initiatives and communicate findings to individuals and parties</li><li>1.3 Identify measures and initiatives that address statutory obligations and those that support non-statutory programs</li><li>1.4 Consult with individuals and parties to assist with identifying and evaluating factors impacting on work-related health and safety</li><li>1.5 Consult with individuals and parties to assist with determining appropriate measures and initiatives to address impacting factors</li><li>1.6 Consult with individuals and parties to assist with designing measures and initiatives that either meet specific legislative requirements and obligations or support non-statutory health promotion programs</li></ol>
Contribute to establishing work-related health and safety measures and initiatives	<ol style="list-style-type: none"><li>2.1 Contribute to the development and planning of work-related health and safety measures and initiatives</li><li>2.2 Identify resourcing requirements, timelines and responsibilities to implement work-related health and safety measures and initiatives</li><li>2.3 Assist with timetabling, liaison and coordination, administering resources and communication to implement work-related health and safety measures and initiatives</li></ol>
Contribute to ensuring work-related health and safety measures and initiatives comply with legislative requirements and obligations	<ol style="list-style-type: none"><li>3.1 Apply knowledge of WHS consultation and participation processes to help ensure effective and appropriate participation of, and consultation with individuals and parties about all aspects of work-related health and safety measures and initiatives</li><li>3.2 Apply knowledge of WHS legislation and workplace policies and processes to help ensure work-related health and safety measures and initiatives are compliant</li><li>3.3 Apply knowledge of other legislative requirements and obligations to help ensure work-related health and safety measures and initiatives are compliant</li></ol>
Contribute to reviewing and evaluating work-related health and safety measures and initiatives	<ol style="list-style-type: none"><li>4.1 Contribute to developing effective means to review and evaluate work-related health and safety measures and initiatives</li><li>4.2 Assist with review and evaluation activities</li><li>4.3 Assist with preparing reports on, and communicating review and evaluation outcomes to individuals and parties</li></ol>



Performance Evidence	Knowledge Evidence
<p>Evidence of the ability to:</p> <ul style="list-style-type: none"><li>• Contribute to scoping, establishing, reviewing and evaluating work health and safety (WHS) measures and initiatives to:<ul style="list-style-type: none"><li>• Address specific legislative requirements and obligations</li><li>• Support non-statutory health promotion programs</li></ul></li><li>• Contribute to ensuring work-related health and safety measures and initiatives comply with legislative requirements and obligations</li><li>• Liaise with relevant people internal and external to the organisation.</li><li>• Note: If a specific volume or frequency is not stated, then evidence must be provided at least once.</li></ul>	<p>To complete the unit requirements safely and effectively, the individual must:</p> <ul style="list-style-type: none"><li>• Explain the application of relevant mandatory health monitoring, including biological monitoring, to help secure work health and safety</li><li>• Explain the difference between work-related health and safety measures and initiatives designed to meet specific legislative requirements and obligations, and those designed to support non-statutory health promotion programs, and give examples of each</li><li>• List factors that impact on work-related health and safety and their potential effects</li><li>• Identify internal and external sources of WHS information and data, and how to access them</li><li>• Outline organisational WHS and other relevant policies, procedures, processes and systems, including human resources</li><li>• Summarise relevant WHS legislation, other legislation (such as privacy and workers' compensation) and common law rights and duties specific to work-related health and safety measures and initiatives</li><li>• Describe work-related health and safety measures and initiatives that either address specific legislative requirements and obligations, or support non-statutory health prevention programs, including:<ul style="list-style-type: none"><li>• The factors impacting on worker health and safety that they address</li><li>• Effectiveness</li><li>• Costs and benefits</li><li>• Criteria for decisions regarding their implementation in a specific workplace</li><li>• How they should be implemented.</li></ul></li></ul>
Assessment Conditions	
<p>Assessment must be conducted in a safe environment where evidence gathered demonstrates consistent performance of typical activities experienced by individuals carrying out work health and safety duties in the workplace and include access to:</p> <ul style="list-style-type: none"><li>• Workplace policies and procedures</li><li>• Relevant legislation, regulations, standards and guidelines</li><li>• Information and resources about factors impacting on the health and safety of workers, and work-related health and safety measures and initiatives</li><li>• Relevant WHS documentation and records</li><li>• Case studies and, where possible, real situations</li><li>• Interaction with others.</li></ul> <p>Assessors must satisfy NVR/AQTF assessor requirements.</p>	