



CATAPULT

SITXWHS004

Establish and maintain a work health and safety system

Unit/Assessment Mapping (Extract)

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This Unit/Assessment Mapping extract is taken from Catapult Smallprint's full hardcopy Trainer/Assessor Guide for the unit SITXWHS004.

For more information, including using our enhanced online version of this unit in Catapult LMS, or to purchase the Learner or Trainer printed books, please see this unit on our website by clicking this link:

<https://catapultlearning.com.au/product/SITXWHS004/>

Unit mapping

KQ: Knowledge questions

PT : Performance tasks

KQ

PT

Elements and performance criteria

1 Establish and maintain a framework for health, safety and security

1.1	Access and interpret key legislative documents to ensure WHS system complies with regulatory requirements, standards and codes	Q 1.1.a, Q 1.1.b	T 1.a
1.2	Design a WHS management system to suit characteristics and needs of the organisation, in consultation with appropriate personnel	Q 1.2.a, Q 1.2.b, Q 1.2.c	T 1.a
1.3	Identify and provide adequate financial, human and specialist external resources to address WHS management practices	Q 1.3	T 1.a
1.4	Develop and clearly articulate WHS policies and procedures in a format readily accessible to all personnel	Q 1.4	T 1.b
1.5	Define and allocate health, safety and security responsibilities within relevant job descriptions	Q 1.5	T 1.b
1.6	Consult with key personnel, and develop and implement a plan for WHS training requirements	Q 1.6	T 1.b
1.7	Establish and monitor a system for keeping WHS records	Q 1.7	T 1.b
1.8	Establish and maintain systems to ensure communication of WHS information to personnel	Q 1.8	T 1.b

2 Establish and maintain consultative arrangements for the management of health, safety and security

2.1	Establish and maintain appropriate consultative processes to suit characteristics and needs of organisation	Q 2.1	T 2
2.2	Plan for and ensure that consultation is conducted at times designated by legislation	Q 2.2	T 2
2.3	Resolve issues raised through consultation	Q 2.3	T 2
2.4	Provide employees with accessible information on the outcomes of consultation	Q 2.4.a, Q 2.4.b	T 2

KQ: Knowledge questions**PT : Performance tasks****KQ****PT****3 Establish and maintain practices for identifying hazards, and assessing and controlling risks**

3.1	Develop or access hazard identification and risk assessment templates that incorporate criteria for assessing risks	Q 3.1	T 3.a
3.2	Plan for and ensure systematic hazard identification at times designated by legislation	Q 3.2.a, Q 3.2.b	T 3.a
3.3	Develop procedures for the ongoing identification of types of hazards designated by legislation	Q 3.3.a, Q 3.3.b	T 3.a
3.4	Develop procedures for the assessment and control of risks associated with identified hazards	Q 3.4	T 3.a
3.5	Nominate within procedures the roles and responsibilities of personnel for hazard identification, risk assessment and risk control	Q 3.5.a, Q 3.5.b	T 3.a
3.6	Take a lead role in controlling risks, including implementing interim or emergency solutions	Q 3.6	T 3.a
3.7	Manage the response to any incident or accident, and follow legislative requirements for notifying and cooperating with WHS government regulators	Q 3.7	T 3.b

4 Evaluate organisational health, safety and security system

4.1	Assess and maintain ongoing compliance with occupational health and safety (OHS) or WHS legislation and regulatory requirements, standards and codes	Q 4.1.a, Q 4.1.b, Q 4.1.c	T 4
4.2	Consult with a range of personnel to elicit feedback on WHS policies, procedures and practices	Q 4.2	T 4
4.3	Assess effectiveness of WHS management practices and develop, implement, document and communicate improvements and changes to the WHS system	Q 4.3.a, Q 4.3.b	T 4

KQ: Knowledge questions**PT : Performance tasks****KQ****PT****Knowledge evidence**

Structure, characteristics and needs of the organisation that the WHS system must address	Q 1.2.a, Q 1.2.b, Q 1.2.c
Objectives, components and comprehensive details of relevant state or territory OHS or WHS legislation: <ul style="list-style-type: none"> ▪ actions that must be taken for legal compliance ▪ employer responsibilities to provide a safe workplace ▪ requirement to consult, designated times for consultation and acceptable consultation mechanisms ▪ requirements for the use of WHS representatives and committees, and their roles and responsibilities ▪ designated times for hazard identification and categories of hazards that must be identified ▪ acceptable mechanisms for hazard identification, risk assessment and risk control ▪ requirements for record keeping and acceptable record keeping mechanisms ▪ requirement to provide information and training ▪ employee responsibilities to ensure safety of self, other workers and other people in the workplace ▪ employee responsibility to participate in WHS practices 	Q 1.1.a, Q 1.1.b
Objectives, components and comprehensive details of WHS codes of practice and standards developed by industry or regulatory bodies	Q 5.1
Ramifications of failure to observe OHS or WHS laws and codes of practice	Q 3.3.a, Q 3.3.b
Methods of receiving updated information on OHS or WHS laws and codes of practice	Q 4.1.a, Q 4.1.b, Q 4.1.c
Components of WHS management systems	Q 1.2.a, Q 1.2.b, Q 1.2.c

Considerations in the formulation of WHS policies and procedures:

- consultation
- emergencies
- evacuation of staff and customers
- handling chemicals and hazardous substances
- hazard identification and reporting
- incident and accident management and notification to WHS regulatory authorities
- incident and accident reporting by staff
- ongoing monitoring of risk control
- overall organisational approach to WHS
- participation of personnel in WHS management practices
- responsibilities of employees to ensure safety
- risk assessments and reporting
- safe work practices
- secure management of:
 - cash
 - documents
 - equipment
 - keys
 - people

Q 1.2.a,
Q 1.2.b,
Q 1.2.c

Consultative processes:

- diary, whiteboard or suggestion box used by staff to report issues of concern
- fact sheets to fully inform personnel about WHS rights and responsibilities
- formal WHS representatives and committees
- formal meetings with agendas, minutes and action plans
- informal meetings with notes
- WHS discussions with employees during the course of each business day
- recording issues in a management diary
- regular staff meetings that involve WHS discussions
- seeking staff suggestions for content of WHS policies and procedures
- special staff meetings or workshops to specifically address WHS issues
- staff handbook containing WHS information
- surveys or questionnaires that invite staff feedback on WHS issues

Q 2.1,
Q 2.2,
Q 2.3,
Q 2.4.a,
Q 2.4.b,
Q 4.2

Time requirements for hazard identification:

- when changes to the workplace are implemented:
 - before the premises are used for the first time
 - before and during the installation or alteration of any plant
 - before changes to work practices are introduced
- when any new information relating to health and safety risks becomes available

Q 3.3.a,
Q 3.3.b

KQ: Knowledge questions**PT : Performance tasks****KQ****PT**

Approaches to assessing the effectiveness of WHS management systems:

- monitoring the ongoing effectiveness of risk control methods
- reviewing:
 - incidents, accidents or near misses
 - WHS reports
 - WHS statistics

Q 4.1.a,
Q 4.1.b,
Q 4.1.c,
Q 4.3.a,
Q 4.3.b

Methods used by the specific industry sector and organisation to:

- conduct consultation when developing policies and procedures
- communicate WHS policies, procedures and safe working practices
- conduct ongoing WHS consultation
- evaluate the effectiveness of WHS management practices

Q 1.8

Sources of assessment criteria for assessing risks:

- developed by external consultancy services
- outlined in Australian standards
- self-determined for the organisation as part of a WHS management system
- suggested by industry associations for use by member businesses
- suggested by industry associations for use by member businesses

Q 3.2.a,
Q 3.2.b

WHS information:

- consultative arrangements for WHS
- employee roles and responsibilities in WHS management practices
- legal obligations and ramifications of failure to comply
- location of first aid kit and emergency evacuation plan
- WHS training information and updates
- policies:
 - overall approach of organisation to WHS
 - participation of personnel in WHS management practices
 - responsibilities of employees to ensure safety
- procedures
- specific risk control measures relevant to the workplace
- specific regulations and codes of practice
- use of:
 - hazard identification reporting documents
 - risk assessment template documents

Q 1.2.a,
Q 1.2.b,
Q 1.2.c

Formats for and inclusions of:

- policies and procedures
- WHS templates for hazard identification and risk assessment
- incident, accidents, or near miss reports
- reports that document the evaluation of systems and required changes
- WHS record keeping systems

Q 1.7,
Q 4.3.a,
Q 4.3.b

KQ: Knowledge questions

PT : Performance tasks

KQ

PT

WHS record requirements:

- consultation:
 - diaries of meetings
 - agendas for and minutes of meetings
 - committee members
 - consultation decisions and follow up actions
- hazard identification
- incident or accident notifications to WHS regulatory authorities
- incident, accident, and near miss reports and related statistics
- policies and procedures
- risk assessments
- risk control actions
- training plans
- training undertaken

Q 1.7

Performance evidence

Establish and implement a complete work health and safety (WHS) system that covers the following components:

- adequate facilities for the welfare of employees
- appropriate management of incidents or accidents and notification to WHS government regulators
- availability of information, instructions, training and supervision that ensure employees' health and safety
- safe:
 - machinery, equipment and materials
 - premises
 - provision of entrances and exits that are safe
 - systems of work
 - work environment

T 1.a,
T 1.b,
T 2,
T 3.a,
T 4

Evaluate and identify improvements to WHS practices within the above system

T 4

Develop comprehensive WHS system documents to support above system

T 3.a

Demonstrate management practices that must be established and maintained for compliance of above system with state or territory occupational health and safety (OHS) or WHS legislation

T 3.a,
T 3.b

Trainer/ assessor user instructions

smallprint training and assessment materials are a commercially produced resource designed to support and underpin a Registered Training Organisation's (RTO's) delivery strategies.

smallprint resources

As a provider of commercially available resources to a range of client organisations, smallprint is aware of and considerate of their clients' need to be compliant with quality standards such as NVR, AQTF and State VET Regulations.

smallprint ensures that all its resources are current according to information provided by the official National Register of Information on Training Packages, training.gov.au (TGA).

smallprint assessment tools are mapped against:

- elements and performance criteria
- performance evidence
- knowledge evidence

The RTO must conduct their own validation and mapping to verify that the assessment tools and instruments used:

- enable the collection of evidence that complies with the principles of assessment and the rules of evidence
- can be used by different trainer/ assessors
- can be consistently applied in a range of assessment situations
- fit effectively with the RTO's TAS

If any gaps are identified the RTO must develop their own evidence gathering methods, assessment tools or activities to address these gaps.

If used correctly smallprint assessment tools should provide the basis for a comprehensive assessment in accordance with the rules of evidence and the principles of assessment.

smallprint does not promote that the use of their resources by RTOs will ensure compliance with all VET Regulations.

There are a number of requirements which impact on compliance with VET Regulations and it is the responsibility of the RTO to meet those requirements including the development of their own Training and Assessment Strategy (TAS) or Learning and Assessment Strategy (LAS).

smallprint resources consist of:

- a learning resource
- an assessment workbook

Learning resource

The smallprint learning resource provides content for learning and new skills development.

Each resource is divided into topics which relate directly to the learning elements and performance criteria for each unit.

At the end of each section the learner is provided with:

- a set of true or false questions
- a set of multi choice questions

These questions are self-marking and do not form part of the assessment for the unit. They provide an opportunity to test their understanding of their progress.

The resource is designed for self-paced learning but is also suitable for face to face or workshop delivery.

Trainer/ assessor requirements

The trainer/ assessor should provide supplementary information including interpretation of the contents of this resource.

They should initiate discussion about the subject matter and should encourage the learner to contribute their own experiences and interpretations of the material.

The learner should be encouraged by their trainer/ assessor to undertake additional research.

This might include:

- reading
- reflection
- drawing upon their knowledge in practice situations beyond what has been facilitated by the trainer

It is not necessary to work through the guides in the order in which they are written; however this is at the discretion of the trainer/ assessor.

The assessment workbook contains the following sections:

- about this unit
- what is competency based training
- how will my competency be assessed
- the tools that will be used to assess competency including:
 - assessment agreement
 - foundation skills checklist
 - skills recognition (RPL) checklist
 - knowledge questions
 - third party agreement
 - performance tasks
 - completion record

Trainer/ assessor requirements

The trainer/ assessor needs to ensure the learner understands:

- the structure of units of competency
 - this specific unit
 - how competency-based assessment works
 - assessment conditions applicable to this unit
 - resources required for assessment
 - rules of evidence
 - reasonable adjustment to ensure equity in assessment for people with disability or with special needs
 - complaints and appeals procedures
 - what constitutes competency
 - your role as a trainer/ assessor
-

Assessment agreement

Purpose

To ensure that the learner understands the assessment process.

Trainer/ assessor requirements

The trainer/ assessor needs to ensure the learner understands:

- how and when the assessment will occur
- the tools that will be used to collect evidence
- the assessment conditions that apply to this unit
- adjustments available if special needs apply
- their rights in relation to complaints and appeals
- all work must be their own
- plagiarism is not acceptable

The learner and the trainer/ assessor both need to sign this form.

Foundation skills checklist

Purpose

To determine foundation skills as defined for this unit of competency.

Trainer/ assessor requirements

Foundation skills are generally defined as:

- LLN Skills
 - reading
 - writing
 - oral communication
 - numeracy
- Employability skills
 - navigate the world of work
 - interact with others
 - get the work done

Different training packages identify foundation skill requirements in a variety of ways.

In some packages foundation skills are described as being explicit in the performance criteria of the unit of competency.

In others specific foundation skills are identified for individual units of competency.

In others all foundation skills are identified separately.

The trainer/ assessor need to identify the foundation skills levels of the learner to determine whether they have the skills to cope with the training, or whether additional support needs to be provided.

The trainer/ assessor should source and use foundation skills assessment methodologies that are suitable for their learning cohort.

On completion of the assessment the trainer/ assessor should record their final comment and mark as satisfactory/ not satisfactory as appropriate.

Skills recognition assessment

Purpose

To obtain evidence of existing skills and knowledge through:

- previous training courses
- workplace documents
- skills obtained through unpaid work
- references
- other

Trainer/ assessor requirements

The trainer/ assessor needs to determine how they wish to use this section.

Evidence of existing skills may be provided for parts of this unit. This may mean that some of the knowledge questions or performance tasks do not need to be completed.

Where this is done trainer/ assessors should clearly identify and inform the learner what is required.

RTOs may wish to use this section as a Recognition of Prior Learning (RPL) process.

However the trainer/ assessor need to ensure that the evidence provided meets the principles of assessment and rules of evidence.

On completion of the assessment the trainer/ assessor should record their final comment and mark as satisfactory/ not satisfactory as appropriate.

Knowledge questions

Purpose

To obtain evidence of the learner's essential knowledge as outlined in the:

- elements and performance criteria for this unit
- knowledge evidence for this unit

The questions address each performance criteria and are designed to elicit responses that provide evidence of the essential knowledge. The questions are also designed to include the specific knowledge requirements that relate to performance criteria.

Where essential knowledge requirements have not been referred to in performance criteria, additional questions are provided.

Trainer/ assessor requirements

The trainer/ assessor needs to determine which questions need to be answered to ensure a satisfactory outcome.

The trainer/ assessor should provide clear instructions to the learner as to:

- which questions should be answered
- the manner in which responses should be presented eg, hand written in the space provided, in a word processed document, verbally, on-line
- whether additional questions need to be answered

The questions are designed to be answered in written format. The trainer/ assessor may ask for verbal responses. Where verbal responses are provided the trainer/ assessor needs to clearly note this and ensure that responses are recorded verbatim.

When questions are answered the trainer/ assessor should provide feedback to the learner. Where responses are unsatisfactory the learner should be given the opportunity to provide additional information.

On completion of each answer the trainer/ assessor should record their final comment and mark as satisfactory/ not satisfactory as appropriate.

Third party evidence collection agreement

Purpose

To provide third parties with clear instructions about their role.

Trainer/ assessor requirements

The performance tasks has been designed to be observed by either a trainer/ assessor or a third party.

This allows for the fact that some tasks may not be directly observable by the trainer/ assessor due to:

- the complexity of the task
- the need for tasks to be repeated or observed over time
- the presence of an observer may compromise workplace safety
- work activities involving issues of confidentiality and privacy

Where a third party is used to observe the tasks the trainer/ assessor must ensure that the third party clearly understands their role and that they are in a position that allows them to regularly and consistently observe the learner's work performance.

They must be informed that:

- they are not required to conduct the assessment
- their feedback is sought as confirmation that the learner has demonstrated the skills covered in the unit to the standard required
- the assessment decision will be made by a qualified assessor

They must also be informed of:

- the tasks to be observed
- the type and the quantity of evidence to be collected and reported
- the number of performances to observe
- the questions to ask to confirm understanding of the tasks
- the time frames and performance standards applicable to the learner's work performance
- the environment in which the tasks should be performed
- how to record their observations

The third party evidence collection agreement should then be signed.

Performance tasks

Purpose

To obtain evidence of the learner's ability to:

- perform the tasks outlined in the elements and performance criteria
- perform the specific requirements outlined in the performance evidence

The tasks address:

- individual performance criterion
- where appropriate a group of performance criteria or an element of competency

The tasks are also designed to include the specific performance evidence requirements that relate to performance criteria. Where performance evidence requirements have not been included in performance criteria additional tasks are provided.

The tasks are designed to be observable and provide evidence that the learner has the necessary skills. Observations should occur over a period of time. Performance can be observed in an actual workplace or in a simulated environment.

Some units will require that certain tasks are performed a specific number of times.

Trainer/ assessor requirements

The trainer/ assessor needs to determine which of the tasks need to be performed to ensure a satisfactory outcome.

The trainer/ assessor should provide clear instructions to the learner as to:

- when the tasks are to be performed
- where the tasks are to be performed
- what they are required to do
- how many times the tasks are to be performed
- who will be observing them
- whether additional tasks need to be answered

Where tasks cannot be easily be observed they can be assessed using role plays and simulations. If performance of particular tasks cannot be observed you might enter into a discussion with the learner or ask them to explain a procedure. In some instances tasks might relate to the production of work products (portfolios/ documents/ outcomes). Although it might not be possible for the trainer/ assessor to observe the total process, the end product of work can provide evidence of performance.

When tasks have been completed the trainer/ assessor should provide feedback to the learner. Where performance is unsatisfactory the learner should be given the opportunity to attempt the task/s again.

Where the tasks have been observed by a third party the trainer/assessor should discuss with the third party what has been observed to ensure that all relevant criteria have been covered and that evidence provided meets the principles of assessment and rules of evidence. This should be recorded as part of the trainer/ assessor comments.

On completion of each task the trainer/ assessor should record their final comment and mark as satisfactory/ not satisfactory as appropriate.

Completion record

Purpose

To record the results of work completed in the assessment workbook.

Trainer/ assessor requirements

The trainer/ assessor needs to ensure that the:

- assessment conditions for this unit were met
- learner answered all questions required to the expected standard
- learner performed all the tasks required to the expected standard
- learner has been provided with comments and feedback regarding any additional assessment requirements

The completion record should be completed and signed by the learner and trainer/ assessor.