

**BSBWHS414 Contribute to WHS risk  
management**

**Recognition of Prior Learning  
Assessor Guide**

## BSBWHS414 Contribute to WHS risk management

### Modification History

Release 1 This version first released with BSB Business Services Training Package Version 5.0.

### Application

This unit describes the skills and knowledge required to contribute to WHS risk management, which includes the processes for identifying work health and safety (WHS) hazards and assessing and controlling the risk relating to those identified hazards.

It involves contributing to the development, implementation and evaluation of risk controls according to legislative and organisational requirements.

The unit applies to those working in a broad range of roles across all industries. WHS hazard identification and risk control processes are those defined in written workplace procedures.

### NOTES

1. The terms 'occupational health and safety' (OHS) and 'work health and safety' (WHS) are equivalent, and generally either can be used in the workplace. In jurisdictions where model WHS laws have not been implemented, registered training organisations (RTOs) are advised to contextualise this unit of competency by referring to existing WHS legislative requirements.
2. The model WHS laws include the model WHS Act, model WHS Regulations and model WHS Codes of Practice. See Safe Work Australia for further information.

No licensing, legislative or certification requirements apply to this unit at the time of publication.

### Unit Sector

Regulation, Licensing and Risk – Work Health and Safety

### Unit Mapping Information

Supersedes and is equivalent to BSBWHS404 Contribute to WHS hazard identification, risk assessment and risk control.

### Links

Companion Volume Implementation Guides are available from VETNet - <https://vetnet.education.gov.au/Pages/TrainingDocs.aspx?q=11ef6853-ceed-4ba7-9d87-4da407e23c10>

### Assessment Conditions

Assessment must comply with WHS laws, legal responsibilities and duty of care required for this unit. It must be conducted in a safe environment where evidence gathered demonstrates consistent performance of typical activities undertaken by individuals carrying out WHS duties in the workplace, and must include access to:

- workplace equipment, technology, software and consumables required to access information on WHS laws
- WHS laws, and organisational policies, procedures, processes and systems required to demonstrate the performance evidence
- case studies and, where possible, real situations
- opportunities for interaction with others.

Assessors of this unit must satisfy the assessor requirements in applicable vocational education and training legislation, frameworks and/or standards.

## Mapping Matrix

The Performance Criteria, Knowledge and Performance Evidence for this unit are listed in the Mapping Matrix at the end of this document.

Use the Mapping Matrix to record your analysis of the evidence, as it is gathered.

The Mapping Matrix will assist you in identifying when evidence is sufficient.

## Documentary Evidence Instrument

### Information for the Assessor

This Documentary Evidence Instrument contains a list of suggested documentary evidence that the candidate may be able to provide in relation to this unit of competency.

The list of suggested documentary evidence is also provided in the Candidate RPL Guide, to assist the candidate in gathering their evidence.

The suggested document instrument is internally mapped in the [left hand column](#).

When the candidate provides a [document](#) which corresponds to the suggested list, you (the assessor) should:

- tick the Copy column if the candidate has provided a copy; or
- tick the Sighted column if you have sighted the document and no copy has been retained by you; and
- describe the document or make other comments in the Comments column

The table has additional rows for you to add any other documentary evidence. You will need to map these documents.

A Mapping Matrix is at the end of this document. It has a separate column for each of the instruments in this RPL Tool. The column to use for this instrument is the Documentary Evidence column. Tick the checkbox where mapping coincides.

### Third Party Verification Instrument

The Candidate RPL Guide for this unit contains a form for 2 third parties to complete. The candidate is required to print the form and submit the completed form, which must be signed by each third party. The form contains mapping to assist you in analysing responses.

This instrument is designed for you to record the evidence provided.

Note that it is essential for you to authenticate this evidence.

A Mapping Matrix is at the end of this document. It has a separate column for each of the instruments in this RPL Tool. The column to use for this instrument is the TP Verification column. Tick the checkbox where mapping coincides.

#### Complete this form, as a record of your analysis

Candidate name		Assessor Name	
TP 1 Name		TP 2 Name	
TP 1 Position		TP 2 Position	
Comments of Assessor in relation to response from TP 1			
Method of authenticating evidence from TP 1			
Comments of Assessor in relation to response from TP 2			
Method of authenticating evidence from TP 2			

Assessor Signature	Date



Mapping	Suggested documents	Copy	Sighted	Comments
PE 1, 3-6 PC 1.2 PC 2.1 PC 3.1-3.4 FS 1-2, 4-6	Hazard reports that you have documented, identifying and reporting on compliance with WHS legislation and the organisations systems	<input type="checkbox"/>	<input type="checkbox"/>	
PE 1, 3-6 PC 1.2 PC 2.1 PC 4.1-4.4 PC 5.1-5.5 FS 1-2, 4-6	Risk assessments that you have documented in relation to identified hazards, recommending risk control measures according to the hierarchy of controls	<input type="checkbox"/>	<input type="checkbox"/>	
PE 2-7 PC 1.2, 1.4 PC 2.2 PC 6.1-6.4 FS 1-2, 4-6	Reports or other communication to WHS duty holders where you have evaluated risk control measures and made recommendations	<input type="checkbox"/>	<input type="checkbox"/>	
PC 1.1 PC 1.3 PC 2.2 FS 1-2, 4-6	Reports or other communication you have written in relation to complying with WHS laws	<input type="checkbox"/>	<input type="checkbox"/>	
PC 1.5 PC 2.1 FS 1-2, 4-6	Communication you have had with technical advisors or WHS specialists in relation to safety	<input type="checkbox"/>	<input type="checkbox"/>	
PC 2.3 FS 1-2, 4-6	Reports or other communication you have written identifying individuals with special WHS duties together with their roles	<input type="checkbox"/>	<input type="checkbox"/>	
PE 1, 3-6 KE 4.5 FS 1-2, 4-6	Risk control plans that you have documented and communicated to duty holders	<input type="checkbox"/>	<input type="checkbox"/>	

Assessor Signature	Date

## Competency Conversation Instrument

This instrument contains the broad questions to commence the competency conversation, together with supplementary questions to draw out and focus the candidate's responses. You may need to ask further questions, contextualised to the candidate's work environment and experience.

The RPL Candidate Guide for this unit contains the broad questions and hints that relate to the supplementary questions. This should enable the candidate to prepare for your meeting.

Use this instrument during the meeting with the candidate. Make notes during the meeting in the space provided.

Each of the supplementary questions is mapped so as to assist you in analysing the evidence provided. Benchmark responses are provided to guide the assessment process and comply with the Principle of Reliability.

A Mapping Matrix is at the end of this document. It has a separate column for each of the instruments in this RPL Tool. The column to use for this instrument is the Competency Conversation column. Tick the checkbox where mapping coincides.

Note: Although questioning can support evidence of performance, it is insufficient alone. Documentary evidence or Third Party Verification is also needed.

## Record of Competency Conversation

Candidate Name	Assessor Name	Date	
Primary Question	What is your personal role in supporting WHS risk management processes?		
Mapping	Supplementary Question	Benchmarks	Assessor notes / comments
KE 1 FS 1, 3 FS 4	What external sources of WHS information do you access?	At a minimum must include the website of the WHS regulator in the candidate's State/Territory	
KE 1 FS 1, 3 FS 4	What internal sources of information on risk management do you access?	Must demonstrate familiarity with information in the organisation's WHSMS. Must also mention individuals such as those with technical expertise or specific safety duties (e.g. health and safety officers, first-aiders, fire wardens)	
KE 2 FS 1, 3 FS 4	What is the Code of Practice that you follow in relation to hazard identification, risk assessment and control?	Must demonstrate knowledge of the Code of Practice: How to manage work health and safety risks. May also refer to other Codes of Practice relevant to own workplace and jurisdiction	
KE 3 FS 1, 3 FS 4 PC 2.4	What documents in your organisation are used in hazard identification, risk assessment and control?	Form of documentation will vary according to the organisation's WHSMS. Candidate must identify documents that are used for: <ul style="list-style-type: none"> <li>hazard identification and reporting</li> <li>risk assessment – likelihood and consequence comparison and</li> <li>determining control measures according to the hierarchy of control</li> </ul>	

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Mapping	Supplementary Question	Benchmarks	Assessor notes / comments
KE 4.1 FS 1, 3 FS 4 PC 2.3 PE 7	What is the duty of care of workers according to WHS legislation?	<p>Candidate may paraphrase but must identify all 4 duties.</p> <p>28 Duties of workers</p> <p>While at work, a worker must:</p> <p>(a) take reasonable care for his or her own health and safety; and</p> <p>(b) take reasonable care that his or her acts or omissions do not adversely affect the health and safety of other persons; and</p> <p>(c) comply, so far as the worker is reasonably able, with any reasonable instruction that is given by the person conducting the business or undertaking to allow the person to comply with this Act; and</p> <p>(d) co-operate with any reasonable policy or procedure of the person conducting the business or undertaking relating to health or safety at the workplace that has been notified to workers.</p>	
KE 4.1 FS 1, 3 FS 4 PC 2.3 PE 7	What is the primary duty of care of the PCBU according to WHS legislation?	<p>Candidate may paraphrase. Key points from the Act</p> <ul style="list-style-type: none"> <li>• ensure, so far as is reasonably practicable, the health and safety of workers</li> <li>• ensure the safety of others is not put at risk by the operations of the business</li> <li>• provide a safe work environment</li> <li>• provide safe systems of work</li> <li>• safe use, handling and storage of plant, structures and substances</li> <li>• facilities for welfare of workers (toilets etc.)</li> <li>• provide safety training, instruction, supervision</li> <li>• monitor worker health as relevant</li> </ul>	

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Mapping	Supplementary Question	Benchmarks	Assessor notes / comments
KE 4.2 FS 3 PC 2.4	What tools and techniques do you use to identify hazards?	Response will vary. Should include at a minimum <ul style="list-style-type: none"> <li>• Workplace inspection</li> <li>• Equipment and materials inspection</li> <li>• Observation of work methods</li> <li>• Consultation with workers and relevant others</li> </ul>	
KE 4.3 FS 3 PC 2.4	What is the procedure you use to perform a risk assessment and identify options for control measures?	Candidate must refer to: <ul style="list-style-type: none"> <li>• comparison of severity (consequence) and likelihood</li> <li>• method of comparison (e.g. using a risk rating matrix)</li> <li>• determine the level of risk (risk score) to identify priority of establishing control measures</li> <li>• use the hierarchy of control               <ul style="list-style-type: none"> <li>○ elimination</li> <li>○ substitute, isolate, engineering</li> <li>○ administration, PPE</li> </ul> </li> </ul>	
KE 4.3 FS 3	When you have performed a risk assessment, who do you report or communicate it to?	Response will vary. Candidate must demonstrate knowledge of relevant duty holders within their organisation and the chain of reporting	
KE 4.4 FS 3 PC 2.4 PC 6.1	What procedures do you use to evaluate existing risk controls?	Candidate should demonstrate knowledge of the importance of regularly reviewing existing risk controls to determine whether they are adequate or can be improved.	
KE 4.5 FS 3, 5 FS 6 PC 6.1	Provide an example of a time when you designed and communicated a risk control plan	Note that documentary evidence should support this KE. Response will vary. Candidate should describe the plan.	
KE 5 FS 3	What is the definition of a hazard?	From the Code of Practice: Wording from candidate may vary but must have the same meaning <ul style="list-style-type: none"> <li>• A situation or thing that has the potential to harm a person.</li> </ul>	

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Mapping	Supplementary Question	Benchmarks	Assessor notes / comments
KE 5 FS 3	What is the definition of a risk?	From the Code of Practice: Wording from candidate may vary but must have the same meaning: <ul style="list-style-type: none"> <li>The possibility harm (death, injury or illness) might occur when exposed to a hazard.</li> </ul>	
KE 6, 7 FS 3	What kinds of potential hazards exist in your workplace? How do you rate these in terms of severity and likelihood? For each of these hazards, what control measures are (or should be) in place? What levels are these control measures on the hierarchy of controls?	Candidate should describe the range of hazards that are relevant to their work environment, the tasks performed and the equipment and materials used. <ul style="list-style-type: none"> <li>describes a minimum of 3 common hazards</li> <li>identifies severity of risk for each of the 3</li> <li>identifies likelihood of risk for each of the 3</li> <li>describes control measures for each of the 3</li> <li>identifies the level of each control measure on the hierarchy of controls</li> </ul>	

Assessor Signature



## Mapping Matrix

BSBWHS414 Contribute to WHS risk management Elements and Performance Criteria	Documentary Evidence	Third Party Verification	Competency Conversation
1. Access information and data used to identify hazards, and to assess and control risks			
1.1 Access and review current WHS laws relevant to organisation's hazard identification and risk control processes	<input type="checkbox"/>	<input type="checkbox"/>	
1.2 Access workplace sources of information and data to inform hazard identification, risk assessment and risk controls	<input type="checkbox"/>	<input type="checkbox"/>	
1.3 Access external sources of information and data to inform hazard identification, risk assessment and risk controls	<input type="checkbox"/>	<input type="checkbox"/>	
1.4 Analyse information and data and determine nature and scope of workplace hazards, risk assessment and risk controls	<input type="checkbox"/>	<input type="checkbox"/>	
1.5 Confirm information and data with required stakeholders, seeking input from technical and other advisors as required	<input type="checkbox"/>	<input type="checkbox"/>	
2. Contribute to identifying risk management requirements and compliance			
2.1 Contribute to identifying and complying with requirements of organisational policies, procedures, processes and systems for hazard identification, risk assessment and risk controls	<input type="checkbox"/>	<input type="checkbox"/>	
2.2 Contribute to identifying and complying with requirements of WHS laws and guidelines for hazard identification, risk assessment and risk controls	<input type="checkbox"/>	<input type="checkbox"/>	
2.3 Identify duty holders, and their roles and responsibilities according to risk management requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.4 Identify tools used by organisational in current hazard identification and risk control processes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Contribute to workplace hazard identification			
3.1 Contribute to selecting hazard identification tools and techniques according to WHS laws, and risk management requirements	<input type="checkbox"/>	<input type="checkbox"/>	
3.2 Use hazard identification tools and techniques to assist with identifying hazards according to risk management requirements	<input type="checkbox"/>	<input type="checkbox"/>	
3.3 Contribute to documenting hazard identification processes and results according to risk management requirements	<input type="checkbox"/>	<input type="checkbox"/>	

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<b>Elements and Performance Criteria</b>			
3.4 Apply knowledge of hazards to advise individuals and/or parties about workplace hazards and the harms they may cause	<input type="checkbox"/>	<input type="checkbox"/>	
<b>4. Contribute to WHS risk assessment</b>			
4.1 Identify individuals and/or parties at risk of exposure to hazards and determine the nature, severity and likelihood of potential harm	<input type="checkbox"/>	<input type="checkbox"/>	
4.2 Contribute to applying tools, techniques and processes to identified hazards to assess risk, according to risk management requirements	<input type="checkbox"/>	<input type="checkbox"/>	
4.3 Contribute to documenting risk assessment results according to risk management requirements	<input type="checkbox"/>	<input type="checkbox"/>	
4.4 Contribute to communicating risk assessment outcomes with workers, contract workers, managers and technical specialists according to risk management requirements	<input type="checkbox"/>	<input type="checkbox"/>	
<b>5. Contribute to developing and implementing risk controls</b>			
5.1 Contribute to selecting risk controls for identified hazards based on the risk assessment	<input type="checkbox"/>	<input type="checkbox"/>	
5.2 Document agreed risk controls according to risk management requirements	<input type="checkbox"/>	<input type="checkbox"/>	
5.3 Contribute to developing risk controls according to the hierarchy of control measures and WHS laws	<input type="checkbox"/>	<input type="checkbox"/>	
5.4 Contribute to implementing risk controls and seek supervisory advice as required by the circumstances	<input type="checkbox"/>	<input type="checkbox"/>	
5.5 Support communication of information on risk controls and actions to required individuals and/or parties	<input type="checkbox"/>	<input type="checkbox"/>	
<b>6. Contribute to evaluating effectiveness of risk controls</b>			
6.1 Identify requirements for ensuring ongoing effectiveness of risk controls	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2 Contribute to identifying measures that enable evaluation of effectiveness of risk controls	<input type="checkbox"/>	<input type="checkbox"/>	
6.3 Document plan for monitoring effectiveness of risk controls according to organisational policies and procedures	<input type="checkbox"/>	<input type="checkbox"/>	
6.4 Present and effectively communicate plan to required stakeholders according to risk management requirements	<input type="checkbox"/>	<input type="checkbox"/>	

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<b>Knowledge Evidence</b> The candidate must demonstrate the knowledge to complete the tasks outlined in the elements, performance criteria and foundation skills of this unit. This includes knowledge of:	<b>Documentary Evidence</b>	<b>Third Party Verification</b>	<b>Competency Conversation</b>
KE 1 internal and external sources of WHS information and data relating to the performance evidence, and procedures for accessing them			<input type="checkbox"/>
KE 2 WHS hazard identification, risk assessment and risk control processes specified in: required WHS laws			<input type="checkbox"/>
KE 3 WHS hazard identification, risk assessment and risk control processes specified in: organisational WHS policies, procedures, processes, and systems			<input type="checkbox"/>
KE 4.1 risk management requirements, including: identifying duty holders and their roles and responsibilities			<input type="checkbox"/>
KE 4.2 risk management requirements, including: selecting and using hazard identification tools and techniques			<input type="checkbox"/>
KE 4.3 risk management requirements, including: undertaking, documenting and communicating risk assessments			<input type="checkbox"/>
KE 4.4 risk management requirements, including: evaluating risk controls			<input type="checkbox"/>
KE 4.5 risk management requirements, including: documenting and communicating risk control plan	<input type="checkbox"/>		<input type="checkbox"/>
KE 5 differences between hazards and risks in the workplace			<input type="checkbox"/>
KE 6 range of common workplace hazards, and the nature, severity and likelihood of those hazards			<input type="checkbox"/>
KE 7 risk assessment and controls that can eliminate or minimise risks.			<input type="checkbox"/>

<b>Performance Evidence</b> Evidence of the ability to:	<b>Documentary Evidence</b>	<b>Third Party Verification</b>	<b>Competency Conversation</b>
PE 1 identifying at least two different (WHS) hazards and controlling the risks associated with those hazards	<input type="checkbox"/>	<input type="checkbox"/>	
PE 2 evaluating the effectiveness of the above risk controls.	<input type="checkbox"/>	<input type="checkbox"/>	
During each of the above occasions, the candidate must:			
PE 3 identify and interpret information and data about WHS requirements and apply them to the selection and application of techniques, tools and processes for hazard identification, risk assessment and risk control	<input type="checkbox"/>	<input type="checkbox"/>	

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Performance Evidence	Documentary Evidence	Third Party Verification	Competency Conversation
Evidence of the ability to:			
PE 4 contribute to documenting processes	<input type="checkbox"/>	<input type="checkbox"/>	
PE 5 communicate with required people about WHS requirements and compliance	<input type="checkbox"/>	<input type="checkbox"/>	
PE 6 comply with WHS requirements for hazard identification, risk assessment, and risk control activities	<input type="checkbox"/>	<input type="checkbox"/>	
PE 7 identify WHS duty holders and their duties.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Foundation Skills	Documentary Evidence	Third Party Verification	Competency Conversation
FS 1 Reading <ul style="list-style-type: none"> <li>• Locates, reviews and interprets WHS legislative and organisational texts and other external information and data</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
FS 2 Writing <ul style="list-style-type: none"> <li>• Uses structure, layout and language suitable for audience to document WHS hazard identification and risk control processes</li> <li>• Uses appropriate organisational formats and industry-specific vocabulary to document hazards, risks, and risk controls</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	
FS 3 Oral communication <ul style="list-style-type: none"> <li>• Uses structure and language suitable for audience to communicate information and contribute ideas about WHS hazard identification and risk control processes</li> </ul>		<input type="checkbox"/>	<input type="checkbox"/>
FS 4 Navigate the world of work <ul style="list-style-type: none"> <li>• Adheres to legal and regulatory responsibilities, and organisational policies and procedures in relation to WHS hazard identification and risk control processes</li> <li>• Keeps up to date with WHS laws, and related organisational policies and procedures relevant to own role</li> <li>• Uses appropriate technology in accessing, communicating, and recording information</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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Foundation Skills	Documentary Evidence	Third Party Verification	Competency Conversation
<b>FS 5 Interact with others</b> <ul style="list-style-type: none"> <li>Identifies what, with whom and how to communicate in the context of advising about hazards, risks and risk controls</li> <li>Cooperates with others as part of WHS hazard identification and risk control processes, and contributes to specific activities requiring joint responsibility and accountability</li> <li>Collaborates with others to achieve individual and team outcomes</li> <li>Interacts to develop relationships with operational personnel and consultative groups</li> <li>Seeks information from others to understand work and work relationships as they relate to hazard management</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>FS 6 Get the work done</b> <ul style="list-style-type: none"> <li>Applies processes to plan, sequence and prioritise tasks, showing awareness of time and resource constraints and the needs of others</li> <li>Uses decision-making processes in hazard identification and risk control processes: sets and clarifies goals, gathers information, and identifies and evaluates choices against a set of criteria</li> <li>Applies problem-solving processes, identifying and evaluating several options for action</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

### Summative Assessment

Once the documentary evidence, third party verifications and competency conversation are completed, analysed and mapped, you should have sufficient information to make a judgement as to whether the candidate has demonstrated competency in this unit.

For Knowledge Evidence, the Competency Conversation alone is sufficient, although it may be supported with documentary evidence. A third party, unless they are a qualified assessor, is not in a position to confirm knowledge.

### Practical Activities

If there are gaps, then you will need to make a judgement whether the candidate can provide evidence by completing a practical activity. In this case, use the learning and assessment pathway Trainer/Assessor Guide for this purpose. All tasks are mapped and this should enable you to select one or more assessment tasks to bridge the gap.

Once the tasks are selected, extract them from the learning and assessment pathway Assessment Task Workbook and place them in a separate document.

### Gap Training

If you have identified gaps in knowledge and skills (as opposed to evidence) then you will need to provide gap training and assessment. Again, you should use the relevant sections of the resources for the learning and assessment pathway.

### Summative Assessment Record

Candidate Name		Student No	
Unit of Competency	BSBWHS414 Contribute to WHS risk management		

Assessor's Comments and Feedback to the Candidate
SAMPLE ONLY

Competent     Not Yet Competent     Re-assessment required

ASSESSOR NAME (PLEASE PRINT)	ASSESSOR SIGNATURE	DATE

I intend to lodge an appeal on the above decision      Yes     No

Candidate signature	Date
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