



# SAFE28001 Safety Regulation and Management

## Term 1 - 2024

Profile information current as at 02/05/2024 06:22 pm

All details in this unit profile for SAFE28001 have been officially approved by CQUniversity and represent a learning partnership between the University and you (our student). The information will not be changed unless absolutely necessary and any change will be clearly indicated by an approved correction included in the profile.

## General Information

### Overview

This unit is designed to equip you with a comprehensive knowledge of contemporary trends in the regulation and management of health and safety in organisations. You will explore legal liability for health and safety and examine contemporary statutory developments regarding prevention. In addition, you will become acquainted with modern corporate governance and due diligence requirements which provide the impetus for the implementation of effective risk-based health and safety management and its integration with organisational business processes.

### Details

Career Level: *Postgraduate*

Unit Level: *Level 8*

Credit Points: 6

Student Contribution Band: 8

Fraction of Full-Time Student Load: 0.125

### Pre-requisites or Co-requisites

There are no requisites for this unit.

Important note: Students enrolled in a subsequent unit who failed their pre-requisite unit, should drop the subsequent unit before the census date or within 10 working days of Fail grade notification. Students who do not drop the unit in this timeframe cannot later drop the unit without academic and financial liability. See details in the [Assessment Policy and Procedure \(Higher Education Coursework\)](#).

### Offerings For Term 1 - 2024

- Online

### Attendance Requirements

All on-campus students are expected to attend scheduled classes - in some units, these classes are identified as a mandatory (pass/fail) component and attendance is compulsory. International students, on a student visa, must maintain a full time study load and meet both attendance and academic progress requirements in each study period (satisfactory attendance for International students is defined as maintaining at least an 80% attendance record).

### Website

[This unit has a website, within the Moodle system, which is available two weeks before the start of term. It is important that you visit your Moodle site throughout the term. Please visit Moodle for more information.](#)

## Class and Assessment Overview

### Recommended Student Time Commitment

Each 6-credit Postgraduate unit at CQUniversity requires an overall time commitment of an average of 12.5 hours of study per week, making a total of 150 hours for the unit.

### Class Timetable

#### [Regional Campuses](#)

Bundaberg, Cairns, Emerald, Gladstone, Mackay, Rockhampton, Townsville

#### [Metropolitan Campuses](#)

Adelaide, Brisbane, Melbourne, Perth, Sydney

### Assessment Overview

#### 1. **Case Study**

Weighting: 40%

#### 2. **Report**

Weighting: 30%

#### 3. **Written Assessment**

Weighting: 30%

### Assessment Grading

This is a graded unit: your overall grade will be calculated from the marks or grades for each assessment task, based on the relative weightings shown in the table above. You must obtain an overall mark for the unit of at least 50%, or an overall grade of 'pass' in order to pass the unit. If any 'pass/fail' tasks are shown in the table above they must also be completed successfully ('pass' grade). You must also meet any minimum mark requirements specified for a particular assessment task, as detailed in the 'assessment task' section (note that in some instances, the minimum mark for a task may be greater than 50%). Consult the [University's Grades and Results Policy](#) for more details of interim results and final grades.

## CQUniversity Policies

**All University policies are available on the [CQUniversity Policy site](#).**

You may wish to view these policies:

- Grades and Results Policy
- Assessment Policy and Procedure (Higher Education Coursework)
- Review of Grade Procedure
- Student Academic Integrity Policy and Procedure
- Monitoring Academic Progress (MAP) Policy and Procedure – Domestic Students
- Monitoring Academic Progress (MAP) Policy and Procedure – International Students
- Student Refund and Credit Balance Policy and Procedure
- Student Feedback – Compliments and Complaints Policy and Procedure
- Information and Communications Technology Acceptable Use Policy and Procedure

This list is not an exhaustive list of all University policies. The full list of University policies are available on the [CQUniversity Policy site](#).

## Unit Learning Outcomes

**On successful completion of this unit, you will be able to:**

1. Interpret and apply legal concepts, processes and procedures relevant to liability for exposure to health and safety risks
2. Apply the work health and safety regulatory framework to determine legal liability
3. Outline the elements of an effective risk-based safety management system
4. Design, develop and implement a risk-based safety management system
5. Evaluate the effectiveness of a risk-based safety management system

## Alignment of Learning Outcomes, Assessment and Graduate Attributes



### Alignment of Assessment Tasks to Learning Outcomes

Assessment Tasks	Learning Outcomes				
	1	2	3	4	5
1 - Case Study - 40%	•	•			
2 - Report - 30%	•	•	•	•	•
3 - Written Assessment - 30%			•	•	•

### Alignment of Graduate Attributes to Learning Outcomes

Graduate Attributes	Learning Outcomes				
	1	2	3	4	5
1 - Knowledge	○	○	○	○	○
2 - Communication	○	○	○	○	○
3 - Cognitive, technical and creative skills	○	○	○	○	○
4 - Research	○	○	○	○	○
5 - Self-management	○	○	○	○	○
6 - Ethical and Professional Responsibility	○	○	○	○	○
7 - Leadership	○	○	○	○	○
8 - Aboriginal and Torres Strait Islander Cultures	○	○	○	○	○

## Textbooks and Resources

### Textbooks

There are no required textbooks.

### IT Resources

You will need access to the following IT resources:

- CQUniversity Student Email
- Internet
- Unit Website (Moodle)

## Referencing Style

All submissions for this unit must use the referencing style: [Harvard \(author-date\)](#)  
For further information, see the Assessment Tasks.

## Teaching Contacts

**Aldo Raineri** Unit Coordinator  
[a.raineri@cqu.edu.au](mailto:a.raineri@cqu.edu.au)

## Schedule

### Week 1 - 04 Mar 2024

Module/Topic	Chapter	Events and Submissions/Topic
Introduction to Unit	<ul style="list-style-type: none"><li>Lutchman, C, Maharaj, R &amp; Ghanem, W 2012, <i>Safety Management : A Comprehensive Approach to Developing a Sustainable System</i>, Taylor &amp; Francis, London. Chapters 7 &amp; 8</li><li>Johnstone, R &amp; Tooma, M, <i>Work Health and Safety Regulation in Australia</i>, The Federation Press, Sydney. Chapter 1</li><li>Supplementary readings in Moodle</li></ul>	Zoom Seminar (Tuesday 5th March 2024, 6.00pm AEST)

### Week 2 - 11 Mar 2024

Module/Topic	Chapter	Events and Submissions/Topic
The Work Health and Safety Act 2011 and the primary duty of care	<ul style="list-style-type: none"><li>Johnstone, R &amp; Tooma, M, <i>Work Health and Safety Regulation in Australia</i>, The Federation Press, Sydney. Chapter 2</li><li>Supplementary readings in Moodle</li></ul>	Zoom Seminar (Tuesday 12th March 2024, 6.00pm AEST)

### Week 3 - 18 Mar 2024

Module/Topic	Chapter	Events and Submissions/Topic
Compliance and Risk Management	<ul style="list-style-type: none"><li>Johnstone, R &amp; Tooma, M, <i>Work Health and Safety Regulation in Australia</i>, The Federation Press, Sydney. Chapter 2</li><li>Supplementary readings in Moodle</li></ul>	Zoom Seminar (Tuesday 19th March 2024, 6.00pm AEST)

### Week 4 - 25 Mar 2024

Module/Topic	Chapter	Events and Submissions/Topic
Workplace Consultation	<ul style="list-style-type: none"><li>Johnstone, R &amp; Tooma, M, <i>Work Health and Safety Regulation in Australia</i>, The Federation Press, Sydney. Chapter 4</li><li>Supplementary readings in Moodle</li></ul>	Zoom Seminar (Tuesday 26th March 2024, 6.00pm AEST)

### Week 5 - 01 Apr 2024

Module/Topic	Chapter	Events and Submissions/Topic
Other duties of care: <ul style="list-style-type: none"><li>corporate officers</li><li>executive officers (Queensland)</li><li>workers</li><li>other persons at a workplace</li></ul>	<ul style="list-style-type: none"><li>Johnstone, R &amp; Tooma, M, <i>Work Health and Safety Regulation in Australia</i>, The Federation Press, Sydney. Chapter 3</li><li>Supplementary readings in Moodle</li></ul>	Zoom Seminar (Tuesday 2nd April 2024, 6.00pm AEST)

### Vacation Week - 08 Apr 2024

Module/Topic	Chapter	Events and Submissions/Topic
Independent study and deliberation		

**Week 6 - 15 Apr 2024**

Module/Topic	Chapter	Events and Submissions/Topic
Systematic safety management	<ul style="list-style-type: none"> <li>• Lutchman, C, Maharaj, R &amp; Ghanem, W 2012, <i>Safety Management : A Comprehensive Approach to Developing a Sustainable System</i>, Taylor &amp; Francis, London. Chapter 4.</li> <li>• AS ISO45001:2018 Occupational health and safety management systems-Requirements with guidance for use</li> <li>• Borys, D, Cowley, S, Tepe, S, Morrell, A &amp; Macdonald, W 2012, 'Systems' in <i>The Core Body of Knowledge for Generalist OHS Professionals</i>, Safety Institute of Australia, Tullamarine, Victoria.</li> <li>• Karanikas, N &amp; Pryor, P 2021, 'OHS Management Systems' in <i>The Core Body of Knowledge for Generalist OHS Professionals (2nd ed)</i>, Australian Institute of Health &amp; Safety, Tullamarine, Victoria.</li> <li>• Dekker, S 2019, <i>Foundations of Safety Science: A century of understanding accidents and disasters</i>, E-book, CRC Press, London.</li> </ul>	<p>Zoom Seminar (Tuesday 16th April 2024, 6.00pm AEST)</p> <p><b>Compliance Investigation Due:</b> Week 6 Monday (15 Apr 2024) 10:00 am AEST</p>

**Week 7 - 22 Apr 2024**

Module/Topic	Chapter	Events and Submissions/Topic
Leadership and culture	<ul style="list-style-type: none"> <li>• Lutchman, Maharaj &amp; Ghanem, <i>Safety Management : A Comprehensive Approach to Developing a Sustainable System</i>, Taylor &amp; Francis, London. Chapters 6 &amp; 18</li> <li>• AS ISO45001:2018 Occupational health and safety management systems-Requirements with guidance for use</li> <li>• Borys, D 2019, 'Organisational Culture: A Search for Meaning' in <i>The Core Body of Knowledge for Generalist OHS Professionals (2nd ed)</i>, Australian Institute of Health &amp; Safety, Tullamarine, Victoria.</li> <li>• Guldenmund, F.W. 2000, 'The nature of safety culture: a review of theory and research', <i>Safety Science</i>, vol. 34, pp. 215-257.</li> </ul>	<p>Zoom Seminar (Tuesday 23rd April 2024, 6.00pm AEST)</p>

**Week 8 - 29 Apr 2024**

Module/Topic	Chapter	Events and Submissions/Topic
--------------	---------	------------------------------

Plan (Developing the system)	<ul style="list-style-type: none"> <li>• Lutchman, C, Maharaj, R &amp; Ghanem, W 2012, <i>Safety Management : A Comprehensive Approach to Developing a Sustainable System</i>, CRC Press, Boca Raton, USA. Chapters 9.</li> <li>• AS ISO45001:2018 Occupational health and safety management systems-Requirements with guidance for use (Parts 6 &amp; 8)</li> <li>• Ruschena, L 2019, 'Chapter 34.1 Prevention and Intervention', in <i>The Core Body of Knowledge for Generalist OHS Professional (2nd edn)</i>, Safety Institute of Australia, Tullamarine, Victoria.</li> <li>• Klockner, K &amp; Meredith, P 2020, 'Measuring Resilience Potentials: A Pilot Program Using the Resilience Assessment Grid', <i>Safety</i>, vol 6, no. 4, pp. 1-17.</li> </ul>	Zoom Seminar (Tuesday 30th April 2024, 6.00pm AEST)
------------------------------	--	---

### Week 9 - 06 May 2024

Module/Topic	Chapter	Events and Submissions/Topic
Do (Implementation)	<ul style="list-style-type: none"> <li>• Lutchman, Maharaj &amp; Ghanem, <i>Safety Management : A Comprehensive Approach to Developing a Sustainable System</i>, Taylor &amp; Francis, London. Chapters 12, 13 &amp; 14</li> <li>• AS ISO45001:2018 Occupational health and safety management systems-Requirements with guidance for use (Parts 7 &amp; 8)</li> <li>• Provan, D &amp; Rae, A 2020, 'Rules and Procedures' (2nd edn) in <i>The Core Body of Knowledge for Generalist OHS Professionals</i>, Tullamarine, Victoria, Australian Institute of Health and Safety.</li> </ul>	<p>Zoom Seminar (Tuesday 7th May 2024, 6.00pm AEST)</p> <p><b>Safety Improvement Plan</b> Due: Week 9 Monday (6 May 2024) 10:00 am AEST</p>

### Week 10 - 13 May 2024

Module/Topic	Chapter	Events and Submissions/Topic
Check (Monitoring and performance evaluation)	<ul style="list-style-type: none"> <li>• Lutchman, Maharaj &amp; Ghanem, <i>Safety Management : A Comprehensive Approach to Developing a Sustainable System</i>, Taylor &amp; Francis, London. Chapters 15 &amp; 16</li> <li>• AS ISO45001:2018 Occupational health and safety management systems-Requirements with guidance for use</li> <li>• Standards Australia &amp; Standards NZ (SA/SNZ) 2019, Guidelines for auditing management systems (AS/NZS ISO 19011:2019), <i>Standards Australia</i>, Sydney. Sections 1, 2 &amp; 3.</li> <li>• Auditing OHS Management Systems - <i>Learning Guide</i> Sections 1-3.</li> <li>• Esposito, P.A. 2009, 'Safety Audits: Comparing Three Types of Assessments', <i>Professional Safety Journal</i>, American Society of Safety Engineers, December 2009.</li> </ul>	Zoom Seminar (Tuesday 14th May 2024, 6.00pm AEST)

### Week 11 - 20 May 2024

Module/Topic	Chapter	Events and Submissions/Topic
--------------	---------	------------------------------

Act (Improvement)	<ul style="list-style-type: none"> <li>• AS ISO45001:2018 Occupational health and safety management systems-Requirements with guidance for use</li> <li>• Standards Australia &amp; Standards NZ (SA/SNZ) 2019, Guidelines for auditing management systems (AS/NZS ISO 19011:2019), <i>Standards Australia</i>, Sydney.</li> <li>• Robson, L, Macdonald, S, Gray, G, Van Eerd, D.L &amp; Bigelow, P 2012, ' A descriptive study of OHS management auditing methods used by public sector organizations conducting audits of workplaces: Implications for audit reliability and validity', <i>Safety Science</i>, vol 50, pp. 181-189.</li> </ul>	Zoom Seminar (Tuesday 21st May 2024, 6.00pm AEST)
-------------------	--	---

### Week 12 - 27 May 2024

Module/Topic	Chapter	Events and Submissions/Topic
Review and independent study	Thomas, M.J.W. (2012), A systematic review of the effectiveness of safety management systems, <i>Australian Transport Safety Bureau</i> , Commonwealth of Australia	Zoom Seminar (Tuesday 30th May 2022, 6.00pm AEST)

### Review/Exam Week - 03 Jun 2024

Module/Topic	Chapter	Events and Submissions/Topic
		<b>Audit Plan and Management Review</b> Due: Review/Exam Week Monday (3 June 2024) 10:00 am AEST

### Exam Week - 10 Jun 2024

Module/Topic	Chapter	Events and Submissions/Topic
--------------	---------	------------------------------

## Term Specific Information

### Recommended references:

Work Health and Safety Regulation in Australia,  
Johnstone, R & Tooma, M.  
The Federation Press, Sydney (2022)

Safety Management: A Comprehensive Approach to Developing a Sustainable System  
Lutchman, C, Maharaj, R & Ghanem, E  
CRC Press, Taylor and Francis (2012)

## Assessment Tasks

### 1 Compliance Investigation

#### Assessment Type

Case Study

#### Task Description

Using the scenario provided on the unit Moodle site, determine whether any provisions of the *Work Health and Safety Act 2011* (or comparable legislation in Victoria or Western Australia) have been breached.

If so, outline which provisions have been breached, how and by whom (2 000 - 2 500 words)

#### Assessment Due Date

Week 6 Monday (15 Apr 2024) 10:00 am AEST

Assignments submitted after the due date without an approved prior extension will incur a penalty of 10% per day.

### **Return Date to Students**

Week 7 Friday (26 Apr 2024)

### **Weighting**

40%

### **Assessment Criteria**

#### **Relevance**

- Depth of understanding in formulating responses to the assigned task
- Alignment of responses to the assigned task
- Connections between discussion and evidence

#### **Validity**

- Depth and extent of discussion: i.e. understanding of concepts and evidence
- Accuracy and originality of the discussion
- Judgement and reasoning: i.e. assertions made based on level of critical thought, analysis and synthesis
- Depth and extent of evidence used

#### **Organisation**

- Consideration of required components of the assigned task
- Structure and flow of information
- Coherence and clarity of expression (spelling, grammar, syntax)

#### **Presentation**

- Style and formatting in accordance with required academic standards
- Typographical precision
- Referencing protocols
- Length

A detailed assessment rubric will be available in Moodle.

### **Referencing Style**

- [Harvard \(author-date\)](#)

### **Submission**

Online

### **Submission Instructions**

Your submission should be submitted in word format only.

### **Learning Outcomes Assessed**

- Interpret and apply legal concepts, processes and procedures relevant to liability for exposure to health and safety risks
- Apply the work health and safety regulatory framework to determine legal liability

## **2 Safety Improvement Plan**

### **Assessment Type**

Report

### **Task Description**

Based on the compliance investigation undertaken in Assessment 1, conduct an Enterprise Needs Analysis and prepare a Safety Improvement Plan for the organisation. The aim is to provide a blueprint for a new/enhanced safety management system (SMS) which will facilitate regulatory compliance and best practice after the incident outlined in the scenario. In order to secure the necessary resources to implement your plan you will need to justify your proposals to management. The plan should include specific information relating to each proposed implementation action, time frames, resources, accountabilities, performance indicators, targets and evaluation criteria which will support your justification.

### **Assessment Due Date**

Week 9 Monday (6 May 2024) 10:00 am AEST

Assignments submitted after the due date without an approved prior extension will incur a penalty of 10% per day.



## Return Date to Students

Week 10 Friday (17 May 2024)

### Weighting

30%

### Assessment Criteria

#### Relevance

- Depth of understanding in formulating responses to the assigned task
- Alignment of responses to the assigned task
- Connections between discussion and evidence

#### Validity

- Depth and extent of discussion; ie: understanding of concepts and evidence
- Accuracy and originality of the discussion
- Judgement and reasoning; ie: assertions made based on level of critical thought, analysis and synthesis
- Depth and extent of evidence used

#### Organisation

- Consideration of required components of the assigned task
- Structure and flow of information
- Coherence and clarity of expression (spelling, grammar, syntax)

#### Presentation

- Style and formatting in accordance with required academic standards
- Typographical precision
- Referencing protocols
- Length

A detailed assessment rubric will be available in Moodle.

### Referencing Style

- [Harvard \(author-date\)](#)

### Submission

Online

### Submission Instructions

Your submission should be submitted in word format only.

### Learning Outcomes Assessed

- Interpret and apply legal concepts, processes and procedures relevant to liability for exposure to health and safety risks
- Apply the work health and safety regulatory framework to determine legal liability
- Outline the elements of an effective risk-based safety management system
- Design, develop and implement a risk-based safety management system
- Evaluate the effectiveness of a risk-based safety management system

## 3 Audit Plan and Management Review

### Assessment Type

Written Assessment

### Task Description

Checking that the safety management system has been effectively implemented is generally completed in two parts - monitoring of the organisation's activities and management review of the organisation's performance against safety objectives.

This assessment is in two parts

#### 1. Development of an Audit Plan (20%)

Based on your reflections of the compliance investigation, the Safety Improvement Plan, and your research on risk controls for the subsystem of operational plant, develop an audit plan for the activity outlined in the scenario.

Notes

1. Your plan should be self-explanatory with an embedded description of the audit scoring criteria and a summary of the context in which the audit will be conducted.

2. Catalogue the auditable criteria in sufficient detail that an auditor will conduct a comprehensive audit.
3. Tailor your audit plan to the scenario and ensure you include the logical evidence-based practice for each criterion (auditable criteria, source reference for each criterion, space for auditor observation, auditor findings and auditor grading for each finding).
4. Auditor grading should use the format of Comment, Observation, Minor non-conformance and Major non-conformance. There is no particular word limit for this assessment piece because the target is to be comprehensive in identifying the audit criteria and delivering a user-friendly audit plan. A tabulated format (use A3 if necessary) of say 3 pages is suggested.

## **2. Management Review (10%)**

Based on the Safety Improvement Plan, your learnings from the audit plan and the requirements for management review contained in AS/NZS/ISO 45001:2018, write a report to management for their consideration. This report should outline the process followed, from the needs analysis, creation/upgrading of the organisation's SMS and the audit plan. Document the issues and your recommendations for the relevant management review topics, which may include the following:

- documents and data on the status of the business
- key management review issues to watch out for
- key factors to be considered for subcontractor management
- issues in organisational learning from failure
- key organisational change strategies, and
- your current AS/NZS/ISO 45001:2018 rollout status within the business for elements associated with the scenario.

Use a formal report style format. Length should be between 1 000 - 1 500 words.

### **Assessment Due Date**

Review/Exam Week Monday (3 June 2024) 10:00 am AEST

Assignments submitted after the due date without an approved prior extension will incur a penalty of 10% per day.

### **Return Date to Students**

Exam Week Friday (14 June 2024)

### **Weighting**

30%

### **Assessment Criteria**

#### **Relevance**

- Depth of understanding in formulating responses to the assigned task
- Alignment of responses to the assigned task
- Connections between discussion and evidence

#### **Validity**

- Depth and extent of discussion; ie: understanding of concepts and evidence
- Accuracy and originality of the discussion
- Judgement and reasoning; ie: assertions made based on level of critical thought, analysis and synthesis
- Depth and extent of evidence used

#### **Organisation**

- Consideration of required components of the assigned task
- Structure and flow of information
- Coherence and clarity of expression (spelling, grammar, syntax)

#### **Presentation**

- Style and formatting in accordance with required academic standards
- Typographical precision
- Referencing protocols
- Length

A detailed assessment matrix will be provided on Moodle.

### **Referencing Style**

- [Harvard \(author-date\)](#)

### **Submission**

Online

## Submission Instructions

Your submission should be submitted in word format only.

## Learning Outcomes Assessed

- Outline the elements of an effective risk-based safety management system
- Design, develop and implement a risk-based safety management system
- Evaluate the effectiveness of a risk-based safety management system

## Academic Integrity Statement

As a CQUniversity student you are expected to act honestly in all aspects of your academic work.

Any assessable work undertaken or submitted for review or assessment must be your own work. Assessable work is any type of work you do to meet the assessment requirements in the unit, including draft work submitted for review and feedback and final work to be assessed.

When you use the ideas, words or data of others in your assessment, you must thoroughly and clearly acknowledge the source of this information by using the correct referencing style for your unit. Using others' work without proper acknowledgement may be considered a form of intellectual dishonesty.

Participating honestly, respectfully, responsibly, and fairly in your university study ensures the CQUniversity qualification you earn will be valued as a true indication of your individual academic achievement and will continue to receive the respect and recognition it deserves.

As a student, you are responsible for reading and following CQUniversity's policies, including the [Student Academic Integrity Policy and Procedure](#). This policy sets out CQUniversity's expectations of you to act with integrity, examples of academic integrity breaches to avoid, the processes used to address alleged breaches of academic integrity, and potential penalties.

### What is a breach of academic integrity?

A breach of academic integrity includes but is not limited to plagiarism, self-plagiarism, collusion, cheating, contract cheating, and academic misconduct. The Student Academic Integrity Policy and Procedure defines what these terms mean and gives examples.

### Why is academic integrity important?

A breach of academic integrity may result in one or more penalties, including suspension or even expulsion from the University. It can also have negative implications for student visas and future enrolment at CQUniversity or elsewhere. Students who engage in contract cheating also risk being blackmailed by contract cheating services.

### Where can I get assistance?

For academic advice and guidance, the [Academic Learning Centre \(ALC\)](#) can support you in becoming confident in completing assessments with integrity and of high standard.

### What can you do to act with integrity?



**Be Honest**

If your assessment task is done by someone else, it would be dishonest of you to claim it as your own



**Seek Help**

If you are not sure about how to cite or reference in essays, reports etc, then seek help from your lecturer, the library or the Academic Learning Centre (ALC)



**Produce Original Work**

Originality comes from your ability to read widely, think critically, and apply your gained knowledge to address a question or problem