

**Qualification Overview**  
**CVQ**

**In**

**OCCUPATIONAL SAFETY AND HEALTH**

**LEVEL 3**

**APPROVED CARIBBEAN VOCATIONAL QUALIFICATION STRUCTURE****OCCUPATIONAL SAFETY AND HEALTH LEVEL 3**

To achieve a full award, candidates must complete seven mandatory units. A unit is normally the smallest part of the CVQ that a candidate can get recognition for. Candidates can also take additional units although these are not required to complete the qualification.

**CCA011-03 CVQ in Occupational Safety and Health - Level 3****Mandatory Units** (All must be completed)**TVETC NUMBERS**

|   |               |
|---|---------------|
| <b>Ensure your own actions reduce risks to safety and health</b>                                | <b>U18103</b> |
| <b>Monitor procedures to control risks to safety and health</b>                                 | <b>U18203</b> |
| <b>Develop procedures to control risks to safety and health</b>                                 | <b>U18303</b> |
| <b>Review safety and health procedures in workplaces</b>  | <b>U18403</b> |
| <b>Promote a safety and health culture within the workplace</b>                                 | <b>U18503</b> |
| <b>Investigate and evaluate accidents, dangerous occurrence and complaints in the workplace</b> | <b>U18603</b> |
| <b>Conduct an assessment of risks in the workplace</b>  | <b>U18703</b> |

**Additional Units**

|   |               |
|---|---------------|
| <b>Ensure your own actions aim to protect the environment</b>                 | <b>U18803</b> |
| <b>Give customers a positive impression of yourself and your organisation</b> | <b>U09602</b> |

## Evidence Requirements

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The minimum evidence you will need to provide for any of these units is listed in the evidence requirements section of the units. Evidence will be assessed using one or more of the following assessment methods:

- observation
- examination of evidence
- questioning
- professional discussion

for each unit of these CVQs, you need evidence to prove that you:

- are consistently competent in meeting the **performance criteria** listed for each element.
- have provided the minimum evidence described under **range and evidence requirements**.
- have the **knowledge and understanding requirements** specified.

## Simulation

Simulation should not normally be used to produce evidence of a candidate's competence. Wherever practical all evidence must be derived from performance in the workplace. Simulation will be accepted where the candidate or others would be in personal danger or the company's operation would be significantly disrupted through real life assessment. The use of simulation must be approved by the external verifier.

**Mandatory Units**  
**CVQ**

**In**

**OCCUPATIONAL SAFETY AND HEALTH**

**LEVEL 3**

**U18103: Ensure your own actions reduce risks to safety and health**

## Unit Descriptor:

Fundamental to this unit is an understanding of the terms 'hazard' and 'risk'. They have been defined in the Glossary and it is **VERY IMPORTANT** that they are understood before undertaking the unit.

**This unit is for:**

Everyone at work (whether paid, unpaid, full or part-time). The scope of the Safety and Health at Work Act 2005-12 covers persons whether employers, employees, self-employed, contractors, etc. Amongst other things the Act seeks to secure the safety, health and welfare of people whilst they work and protect other people against risks to safety or health arising from the activity of people at work. This unit does not require the candidate to undertake a full risk assessment, it is about having an appreciation of significant risks in the workplace and knowing how to identify them and deal with them.

**This unit covers:**

The safety and health duties for everyone in the workplace. It describes the competences required to ensure that:

- Your own actions do not create any safety and health risks,
- You do not ignore significant risks in your workplace, and
- You take sensible action to put things right, including: reporting situations which pose a danger to people in the workplace and seeking advice.

**Elements in this unit are:**

- 1 Identify the hazards and evaluate the risks in your workplace
- 2 Reduce the risks to safety and health in your workplace

**This is what you need to show:**

**In Element 1** you need to show that you understand the safety and health requirements and policies in the workplace, and that you check your own working practices and work area for any risk of you or others being harmed. You should be able to identify the risk arising from any hazards you have identified and know which you can deal with safely yourself, and those which you must report to the 'responsible person' for attention.

**Element 2** requires you to show you have taken steps to reduce those safety and health risks with which you might come into contact during the course of your work. It covers carrying out tasks safely and in accordance with instructions and workplace requirements.

| ELEMENT  | PERFORMANCE CRITERIA   |
|--|--|
|  | <i>To be competent you must achieve the following:</i>   |
| 1. Identify the hazards and evaluate the risks in your workplace | <p>1.1 Name correctly and locate the persons responsible for safety and health in the workplace.</p> <p>1.2 Identify which workplace policies are relevant to your working practices.</p> <p>1.3 Identify those working practices in any part of your job role which could harm yourself or other persons.</p> <p>1.4 Identify those aspects of the workplace which could harm yourself or other persons.</p> <p>1.5 Evaluate which of the potentially harmful working practices and the potentially harmful aspects of the workplace are those with the highest <b>risk</b> to you or to others.</p> <p>1.6 Report those hazards which present a high <b>risk</b> to the persons responsible for safety and health in the workplace.</p> <p>1.7 Deal with hazards with low <b>risks</b> in accordance with workplace policies and legal requirements.</p> |
| 2. Reduce the risks to safety and health in your workplace       | <p>2.1 Carry out your working practices in accordance with legal requirements.</p> <p>2.2 Follow the most recent <b>workplace policies</b> for your job role.</p> <p>2.3 Rectify those safety and health risks within your capability and the scope of your job responsibilities.</p> <p>2.4 Pass on any suggestions for reducing risks to safety and health within your job role to the responsible persons.</p> <p>2.5 Show that your personal conduct in the workplace does not endanger the safety and health of yourself or other persons.</p>  |

- 2.6 Follow the **workplace policies** and suppliers' or manufacturers' instructions for the safe use of equipment, materials, biological and chemical agents and products.
- 2.7 Report any differences between **workplace policies** and suppliers' or manufacturers' instructions as appropriate.
- 2.8 Show that your personal presentation at work:
- ensures the safety and health of yourself and others
  - meets any legal duties, and
  - is in accordance with **workplace policies**

## **RANGE STATEMENT**

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*You must cover the items below:*

### **Element 1: Identify the hazards and evaluate the risks in your workplace**

#### **A. Risks** resulting from:

- (i) The use and maintenance of machinery or equipment
- (ii) The use of biological agents or substances
- (iii) Administrative and industrial working practices which do not conform to laid down policies.
- (iv) Unsafe behaviour
- (v) Accidental breakages and spillages
- (vi) Environmental factors

**Element 2: Reduce the risks to safety and health in your workplace****B. Workplace policies** covering:

- (i) The use of safe working methods and equipment
- (ii) The safe use of hazardous substances
- (iii) Smoking, eating, drinking and drugs
- (iv) What to do in the event of an emergency
- (v) Personal presentation

**UNDERPINNING KNOWLEDGE AND SKILLS**

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**Essential Knowledge and understanding for this unit:**

To ensure your own actions reduce risks to safety and health you should know and understand the following aspects of safety and health legislation:

1. Your legal duties for safety and health in the workplace as required by the Safety and Health at work Act, 2005-12.
2. Your duties for safety and health as defined by any specific legislation covering your job role.

To ensure your own actions reduce risks to safety and health you should know and understand the following relating to risks to safety and health:

3. What hazards may exist in your workplace.
4. The particular safety and health risks which may be present in your own job role and the precautions you must take.
5. The importance of remaining alert to the presence of hazards in the whole workplace.
6. The importance of dealing with or promptly reporting risks.
7. The requirements and guidance on the precautions.

**Underpinning knowledge and skills for specific elements**

For Element 1 you must understand:

8. Agreed workplace procedures relating to controlling risks to safety and health.
9. Responsibilities for safety and health in your job description.
10. The responsible persons to whom to report safety and health matters.

For Element 2 you must understand:

11. The specific workplace policies covering your job role.
12. Suppliers' and manufacturers' instructions for the safe use of equipment, materials and products.
13. Safe working practices for your own job role.
14. The importance of personal presentation in maintaining safety and health in the workplace.
15. The importance of personal conduct in maintaining the safety and health of yourself and others.
16. Your range and responsibility for rectifying risks.
17. Workplace procedures for handling risks which you are unable to deal with.
18. Fire safety and first aid.

## EVIDENCE GUIDE

### (1) Critical Aspects of Evidence

Performance evidence must be provided against each of the performance criteria and should be the primary source of evidence, but this will often be supported by questioning or other forms in order to gather evidence of your ability to perform competently across all the range items listed. This performance evidence must be provided from real working practice. In order to demonstrate competence you must be able to show consistent competent performance.

The assessor must see performance evidence for each of the range items, as specified in both elements, appropriate to your own workplace context. Performance evidence must show from the range that you have:

- Identified a minimum of **two** types of **risks** resulting from those listed (range A), and
- Followed a minimum of **four** types of **workplace policies** (range B).

The assessor will need to be satisfied that you have the necessary knowledge and understanding to perform competently in respect of all the range items listed in this unit. Answers to questions and other forms of evidence may additionally be used to demonstrate an understanding of the essential knowledge required for the unit, and for the specific knowledge required for each element.

**(2) Methods of Assessment**

You are required to provide the following evidence:

One **report** outlining the particular hazards and associated risks you encounter in your workplace (these could affect you or others), both directly (your actual work) and indirectly (other areas you are in contact with; e.g. fire, forklift truck traffic, etc.). You must identify in the report any hazards/risks that you cannot control yourself and show that these have been reported to a responsible person.

Additionally your report must show how you have reduced those safety and health risks you have previously identified. This can be by following instructions, safe systems of work, making the area safe and reporting those hazards/risks etc.

It is expected that your **report** will include evidence to demonstrate your competence in respect of **all** performance criteria from element 1 and 3, 4 and 5 from element 2.

Your report should be supported by work products.

One **witness testimony** describing how you ensure your own actions reduce risks to safety and health, by a witness who regularly observes your working practices, e.g. a supervisor or team leader.

It is expected that your **witness testimony** will include evidence to demonstrate your competence in respect of performance criteria 6 and 7 from element 1 and all performance criteria from 2.

**PLUS**

A record of questioning or professional discussion with your assessor

The **record** of your questioning or professional discussion should identify your thinking and reason for actions and overall approach. The evidence will re-enforce your competence in element 1 and 2.

Knowledge requirements should occur naturally within the overall report and be re-enforced in the overall questioning/professional discussion.

**(3) Context of Assessment**

Simulation should not normally be used to produce evidence of a candidate's competence. Wherever practical all evidence must be derived from performance in the workplace. Simulation will be accepted where the candidate or others would be in personal danger or the company's operation would be significantly disrupted through real life assessment. The use of simulation must be approved by the external verifier.

**U18203: Monitor procedures to control risks to safety and health**

Unit Descriptor:

Fundamental to this unit is an understanding of the terms ‘hazard’ and ‘risk’. They have been defined in the Glossary and it is **VERY IMPORTANT** that they are understood before undertaking the unit.

**This unit is for:**

A person who has been allocated responsibility for checking and co-ordinating safety and health matters in addition to their normal work role. Whilst the range of the Safety and Health at Work Act 2005-12 covers all persons, many workplaces have identified someone to help ensure that safety and health procedures are being followed. This person could, for example, be a union or non-union safety representative, a supervisor, a line manager or team leader.

**This unit covers:**

Making sure that statutory and workplace procedures for controlling risks to safety and health are being carried out. It describes the competences required to ensure that:

- Safety and health policies are being followed within work areas
- Appropriate action is undertaken to deal with risks that arise from workplace hazards.

**Elements in this unit are:**

- 1 Check that safety and health policies are followed
- 2 Ensure that risks are controlled safely and effectively

**This is what you need to show:**

**In Element 1** you need to show that you understand safety and health requirements at the workplace, and that you can keep yourself and others up-to-date about the safety and health regulations appropriate to your workplace. You should be able to communicate with others in the workplace about safety and health matters, their concerns over implementation and be able to identify safety and health training and instruction has been received.

**In Element 2** you need to show that you understand the procedures for controlling risks and that you can follow procedures for controlling hazards and preventing significant risks which can arise. You should ensure that you check what action has been agreed, check it has been carried out and identify if there are any conflicts between the workplace or statutory requirements (note it might be that someone else actually carries out the action to deal with the hazard).

**ELEMENT****PERFORMANCE CRITERIA**

*To be competent you must achieve the following:*

- |   |  |
|---|--|
| 1. Check that safety and health procedures are followed | <p>1.1 Confirm that all the information available to you on statutory safety and health regulations is up-to-date and from recognised and reliable <b>information sources</b>.</p> <p>1.2 Conduct your monitoring of <b>workplace procedures</b> at agreed intervals and in accordance with workplace requirements.</p> <p>1.3 Check regularly that other persons possess:</p> <ul style="list-style-type: none"> <li>• up-to-date information about safety and health hazards, and</li> <li>• instructions on how to deal with risks which can arise</li> </ul> <p>1.4 Confirm other persons have received relevant training on how to deal with safety and health hazards.</p> <p>1.5 Brief and obtain feedback from other persons concerning <b>workplace procedures</b>.</p> <p>1.6 Respond promptly to any breaches of safety and health procedures in a way which meets workplace and legal requirements.</p> <p>1.7 Make any recommendations for changes to <b>workplace procedures</b>, clearly, to the responsible person.</p> <p>1.8 Check regularly that your records relating to safety and health matters:</p> <ul style="list-style-type: none"> <li>• comply with legal and workplace requirements, and</li> <li>• are accessible to those who are authorized to use them.</li> </ul> |
|---|--|

2. Ensure that risks are controlled safely and effectively
- 2.1 Keep accurate and legible records of workplace **risks** identified or reported to you.
  - 2.2 Report the existence of hazards with high **risks** in accordance with workplace safety and health procedures.
  - 2.3 Confirm that appropriate precautions to control these **risks** have been agreed with the persons responsible for safety and health.
  - 2.4 Confirm that the precautions are in accordance with legal and workplace safety and health policies.
  - 2.5 Check that other persons are:
    - aware of the **risks**, and
    - understand the action to be taken to reduce the **risks** which can arise
  - 2.6 Review the precautions to ensure those **risks** are minimised and are no longer significant.
  - 2.7 **Report** promptly and accurately any conflicts which still exist between workplace and statutory requirements to the persons responsible for safety and health.
  - 2.8 Prepare reports containing accurate details about the cause of hazards with high **risks** and make suitable recommendations to minimise their reoccurrence.

**RANGE STATEMENT**

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*You must cover the items below:*

**Element 1: Check that safety and health procedures are followed****A. Information sources are:**

- (i) Internal safety and health experts
- (ii) The Labour Department
- (iii) Relevant industry publications
- (iv) External organisations
- (v) Other resources

**B. Workplace safety and health procedures covering:**

- (i) The use of safe working methods and equipment
- (ii) The safe use of hazardous substances
- (iii) Smoking, eating, drinking and drugs
- (iv) What to do in the event of an emergency

**Element 2: Ensure that risks are controlled safely and effectively****C. Risks resulting from these hazards:**

- (i) The use of hazardous substance
- (ii) The use and maintenance of plant, equipment and material
- (iii) Poor working practices
- (iv) Unsafe behaviour
- (v) Accidental breakages and spillages
- (vi) Obstructions
- (vii) Ill-health issues
- (viii) Condition of workplace

**D. Reports are:**

- (i) Written
- (ii) Oral

**UNDERPINNING KNOWLEDGE AND SKILLS****Essential underpinning knowledge and skills for this unit:**

**To monitor procedures to control risks to safety and health you should know and understand the following aspects of safety and health legislation:**

1. Employers' and employees' legal duties for safety and health in the workplace as required by the Safety and Health at Work Act 2005-12.
2. Your responsibilities for safety and health as defined by any specific legislation covering your job role.
3. How to keep safety and health records.
4. Effective communication methods.
5. Effective methods of monitoring the activities and understanding of other people with respect to safety and health matters.
6. The difference between a hazard and a risk.
7. What hazards may exist in your workplace.
8. The particular safety and health risks which may be present in your own job role and the precautions to take.
9. The importance of remaining alert to the presence of hazards in the whole workplace.
10. The importance of promptly dealing with or reporting significant risks in the workplace.

**Underpinning knowledge and skills for specific elements:**

*For Element 1 you must understand:*

11. The work areas and people for whom you are responsible.
12. The scope of your job and your own capabilities with respect to safety and health matters.
13. The specific organisational safety and health arrangements covering your job role.
14. Agreed safety and health policies and their procedures at your workplace.
15. Agreed intervals for monitoring safety and health compliance.
16. Your job limitations and capabilities.
17. The specific organisational health and safety arrangements covering your job role.
18. Workplace policies relating to resolving hazards.
19. Workplace procedures for record keeping.

**EVIDENCE GUIDE****(1) Critical Aspects of Evidence**

Performance evidence must be provided against each of the performance criteria and should be the primary source of evidence, but this will often be supported by questioning or other forms in order to gather evidence of your ability to perform competently across all the range items listed. This performance evidence must be provided from real working practice. In order to demonstrate competence you must be able to show consistent competent performance.

The assessor must see performance evidence for each of the range items, as specified in both elements, appropriate to your own workplace context. Performance evidence must show from the range that you have:

- Used all internal and external **information sources** listed (range A), and
- Checked **all** the **workplace safety and health procedures** for the areas listed (range B), and
- **Reported** a minimum of **two** types of **hazard** from those listed which could present high **risk** if controls are not in place (range C).

The assessor will need to be satisfied that you have the necessary knowledge and understanding to perform competently in respect of **all** the range items listed in this unit. Answers to questions and other forms of evidence may additionally be used to demonstrate an understanding of the essential knowledge required for this unit, and for the specific knowledge required for each element.

**(2) Methods of Assessment**

You are required to provide the following evidence:

One **report** that shows how you have carried out up-to-date (encompassing current legislation/company working practices) monitoring (e.g. workplace inspections, checking training records, observation of people in the workplace, inspection of procedures and documentation, etc). Both safety and health items must be legible and also be communicated to the responsible person.

Your report must contain accurate details and give suitable recommendations.

It is expected that your **report** will include evidence to demonstrate your competence in respect of performance criteria 1, 2, 3, 4, 5, 6 and 7 from element 1 and 1, 2, 3, 4, 5 and 6 from element 2.

Your report should be supported by work products.

In preparing your report knowledge evidence should be addressed.

**PLUS**

**Three** varied **records** showing results from your monitoring.

It is expected that your **records** will include evidence to demonstrate your competence in respect of performance criteria 8 from element 1 and 7 and 8 from element 2.

**PLUS**

One **witness testimony** describing how you monitor procedures to control risks to safety and health, by a witness who regularly observes your working practices, e.g. a supervisor or team leader.

It is expected that your **witness testimony** will include evidence to demonstrate your competence in respect of all performance criteria from elements 1 and 2.

**(3) Context of Assessment**

Simulation should not normally be used to produce evidence of a candidate's competence. Wherever practical all evidence must be derived from performance in the workplace. Simulation will be accepted where the candidate or others would be in personal danger or the company's operation would be significantly disrupted through real life assessment. The use of simulation must be approved by the external verifier.



**ELEMENT****PERFORMANCE CRITERIA**

*To be competent you must achieve the following:*

- |   |  |
|---|--|
| 1. Develop procedures for maintaining a healthy and safe workplace            | <p>1.1 Set realistic objectives to ensure a healthy and safe workplace for all people in the workplace.</p> <p>1.2 Develop safety and health procedures which meet legal requirements and are appropriate to:</p> <ul style="list-style-type: none"> <li>• the type of work carried out, and</li> <li>• the workplace</li> </ul> <p>1.3 Identify individuals to whom people must:</p> <ul style="list-style-type: none"> <li>• report accidents</li> <li>• report safety and health risks, and</li> <li>• obtain first aid</li> </ul> <p>1.4 State clear <b>measures</b> to check the effectiveness of the workplace safety and health procedures.</p> <p>1.5 Specify the arrangements for recording <b>safety and health data</b> to meet legal requirements.</p> <p>1.6 Develop plans for safety and health training which are relevant to the needs of the workplace, the people in the workplace and meet legal requirements.</p> <p>1.7 Communicate the safety and health procedures to all people in the workplace in a professional and considerate manner.</p> |
| 2. Review the effectiveness of safety and health procedures in your workplace | <p>2.1 Identify any changes to legal regulations or guidance affecting current working practices.</p> <p>2.2 Identify <b>changes in the workplace</b> affecting current workplace safety and health procedures.</p>  |

- 2.3 Provide responsible persons with opportunities to give feedback about the implementation of safety and health procedures.
- 2.4 Review all relevant safety and health reports and data for opportunities to improve the workplace safety and health procedures.
- 2.5 Identify and obtain further **information and advice** from reliable and recognised sources of expertise.
- 2.6 Record, accurately:
- The details of any review carried out, and
  - The plans to improve current safety and health procedures
- 2.7 Alert all people in the workplace, promptly, to the revised safety and health procedures.
- 2.8 Set effective measures in place for monitoring the revised safety and health procedures.

**RANGE STATEMENT**

*You must cover the items below:*

**Element 1: Develop procedures for maintaining a healthy and safe workplace****A. Measures include:**

- (i) Planned inspections
- (ii) Spot checks
- (iii) Specific checks on identified danger areas
- (iv) Ensure maintenance programmes are in place

**B. Safety and health data for:**

- (i) Complaints
- (ii) Incidents/accidents
- (iii) Illness
- (iv) Evacuation drills
- (v) Test certificates
- (vi) Training records
- (vii) Results of monitoring

**Element 2: Review the effectiveness of safety and health procedures in your workplace****C. Changes in the workplace in respect of:**

- (i) Working practices
- (ii) Plant, machinery or materials
- (iii) Personnel

**D. Information and advice in respect of:**

- (i) Systems for assessing and recording degree of risk
- (ii) Specific legal requirements
- (iii) Specific equipment and process risks
- (iv) Industry and manufacturer's best practice improvements

**UNDERPINNING KNOWLEDGE AND SKILLS****Essential underpinning knowledge and skills for this unit:**

To develop procedures to control risks to safety and health you should know and understand the following aspects of safety and health legislation:

1. Employers' and employees' legal duties for safety and health in the workplace as required by the Safety and Health at Work Act 2005-12.
2. Your responsibilities for safety and health as defined by any specific legislation covering your job role.

To develop procedures to control risks to safety and health you should know and understand the following relation to safety and health:

3. Preparing and writing effective policies and procedures.
4. The different types of working practices present in the workplace
5. What would constitute a breach of legal safety and health requirements
6. What hazards exist in your workplace.
7. The particular safety and health risks which may be present in your own job role and the precautions to be taken.
8. The importance of remaining alert to the presence of hazards in the whole workplace.
9. The importance of dealing with or promptly reporting risks.
10. Appropriate measures for checking different types of safety and health procedures.

**Underpinning knowledge and skills for specific elements:**

For Element 1 you must understand:

11. The work areas and people for whom you are responsible and covered by the safety and health procedures.
12. The commonly used working practices.
13. The information that may be required about safety and health within the workplace.
14. The specific organisational safety and health procedures covering your job role.

For Element 2 you must understand:

15. The work areas and people for whom you are responsible.
16. Job roles of the people for whom you are responsible.
17. What information may be available on safety and health within the workplace.
18. Appropriate channels of communication within the workplace.
19. Ways of conducting an effective safety and health review.

## EVIDENCE GUIDE

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### (1) Critical Aspects of Evidence

Performance evidence must be provided against each of the performance criteria and should be the primary source of evidence, but this will often be supported by questioning or other forms in order to gather evidence of your ability to perform competently across all the range items listed. This performance evidence must be provided from real working practice. In order to demonstrate competence you must be able to show consistent competent performance.

The assessor must see performance evidence for each of the range items, as specified in both elements, appropriate to your own workplace context. Performance evidence must show from the range that you have:

- Specified the use of a minimum of **two** types of **measures** from those listed (range A), and
- Specified the recording arrangements for a minimum of **two** types of **safety and health data** from those listed (range B), and
- Reviewed a minimum of **two** types of **changes in the workplace** as listed (range C), and
- Used a minimum of **one** of the areas of **information and advice** listed range D).

The assessor will need to be satisfied that you have the necessary knowledge and understanding to perform competently in respect of all the range items listed in this unit. Answers to questions and other forms of evidence may additionally be used to demonstrate an understanding of the essential knowledge required for the unit, and for the specific knowledge required for each element.

### (2) Methods of Assessment

You are required to provide the following evidence:

**One record** that shows you have taken into the account the end to end system for overall safety management. This can be represented by the preparation, implementation, monitoring and effective communication of a 'Safety and Health Policy' for the workplace.

It is expected that your **report** will include evidence to demonstrate your competence in respect of all performance criteria from element 1.

**PLUS**

**One report** that shows over time how you have taken into account any necessary changes due to new/impending legislation and/or required changes in working practices/procedures.

Products to support your reports.

It is expected that your **report** will include evidence to demonstrate your competence in respect of all performance criteria from element 2.

**PLUS**

One **witness testimony** describing how you develop procedures to control risks to safety and health, by a witness who regularly observes your working practices e.g. a supervisor or team leader.

It is expected that your **witness testimony** will support your evidence to demonstrate your competence in respect of all performance criteria from elements 1 and 2.

**PLUS**

One **record** of professional discussion or questioning.

The **record** of your questioning or professional discussion should identify your rationale and thinking for the review process. The evidence will re-enforce your competence in 2.

Knowledge requirements should occur naturally within the overall records and professional discussion.

**(3) Context of Assessment**

Simulation should not normally be used to produce evidence of a candidate's competence. Wherever practical all evidence must be derived from performance in the workplace. Simulation will be accepted where the candidate or others would be in personal danger or the company's operation would be significantly disrupted through real life assessment. The use of simulation must be approved by the external verifier.

**U18403: Review safety and health procedures in workplaces**

## Unit Descriptor:

Fundamental to this unit is not only an understanding of the terms ‘hazard’ and ‘risk’ (they have been defined in the Glossary and it is **VERY IMPORTANT** that they are understood before undertaking the unit), but a good understanding of safety and health legislation and how it applies to different workplaces.

**This unit is for:**

A person required to review safety and health conditions in workplace other than their own.

**This unit is about:**

- Preparing to carry out a review of safety and health procedures of a specified workplace to meet established procedures (laid down by the organisation for whom the person conducting the review works)
- Carrying out a review to check if relevant mandatory safety, health and welfare requirements are being implemented, and reporting and recording the findings of such reviews in accordance with agreed procedures.

**Elements in this unit are:**

- 1 Prepare to undertake a review of safety and health in a workplace
- 2 Carry out a review of workplace safety and health implementation

**This is what you need to show:**

**In Element 1** that you understand how to prepare for a review of a workplace by planning what will be required, who to involve and by ensuring that the necessary documentation is ready beforehand.

**In Element 2** that you understand how to carry out a review in a workplace in a manner sensitive to the working environment. It includes making sure the available information is accurate and up-to-date, carrying out the review, checking compliance with safety and health practice, noting any problems and suggesting any recommendations for improvement.

**ELEMENT****PERFORMANCE CRITERIA**

*To be competent you must achieve the following:*

- |  |   |
|--|---|
| 1. Prepare to undertake a review of safety and health in a workplace | <p>1.1 Plan a work schedule for a review of safety and health conditions in accordance with agreed procedures.</p> <p>1.2 Select <b>methods for the review</b> which are suitable for the workplace due to be reviewed.</p> <p>1.3 Obtain authorization for the review to take place by the person responsible for the workplace.</p> <p>1.4 Prioritise your activities in the schedule of work to meet the timescale.</p> <p>1.5 Obtain the necessary resources in time for the review to take place.</p> <p>1.6 Brief other persons involved in the review to ensure they understand its purpose and the process to be undertaken.</p> <p>1.7 Agree the <b>documents and information</b> to be used before conducting the review.</p> |
| 2. Carry out a review of workplace safety and health implementation  | <p>2.1 Show that your personal presentation when carrying out the <b>review</b> is sensitive to the workplace at all times.</p> <p>2.2 Show that your <b>review</b> covers working practices in the workplace including any <b>areas likely to need special checking</b>.</p> <p>2.3 Record, accurately, any differences between the content of previous records and the current situation.</p> <p>2.4 Identify safety and health hazards, which could result in serious harm to persons in the workplace, from:</p> <ul style="list-style-type: none"> <li>• Working practices, and</li> <li>• The work area</li> </ul>  |

- 2.5 List in priority order any non-compliance with safety and health regulations and laid down procedures in consultation with the responsible person.
- 2.6 Make sensible recommendations to control the hazards and agree an action plan for improving safety and health.
- 2.7 Record, fully, in accordance with established procedures:
  - The outcomes of the **review of safety and health**, and
  - The action plan
- 2.8 Agree with the responsible persons a follow-up plan for monitoring the implementation of recommendations and corrective action.

## **RANGE STATEMENT**

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*You must cover the items below:*

### **Element 1: Prepare to undertake a review of safety and health in a workplace**

#### **A. Methods for the review are:**

- (i) Questioning
- (ii) Direct observation
- (iii) Desk research
- (iv) Mix of face-to-face and desk research

#### **B. Documents and information relating to:**

- (i) Outcomes of any previous reviews
- (ii) Agreed procedures against which the review is to take place
- (iii) Recording documents

**Element 2: Carry out a review of workplace safety and health implementation****C. Review of safety and health** relating to:

- (i) An initial review
- (ii) Following an incident or complaint
- (iii) A change in working practices

**D. Areas for special checking:**

- (i) Safety and health instruction for people who are not full time
- (ii) Fire equipment, doors, escape routes and drills
- (iii) Plant, machinery, equipment and substance
- (iv) Risks to specific categories of people, e.g. those with special needs or disabilities

**UNDERPINNING KNOWLEDGE AND SKILLS****Essential Underpinning knowledge and skills for this unit:**

To review safety and health procedures in workplaces you should know and understand the following aspects of safety and health legislation.

1. Employers' and employees' legal duties for safety and health in the workplace as required by the Safety and Health at Work Act 2005-12 and regulations.
2. Your responsibilities for safety and health as defined by any specific legislation covering your job role.

To review safety and health procedures in workplaces you should know and understand the following relating to safety and health:

3. The structure of the organisation and persons responsible for safety and health in the workplace under review.
4. When to report inappropriate procedures for reviewing the workplace.
5. Effective procedures for carrying out a review of safety and health in other workplaces.
6. When it is appropriate to wear personal protective equipment.
7. The particular safety and health risks which may be present in people's job roles.
8. The importance of being aware of hazards and the risks which may arise in the type of workplace under review.

*For element 1 you need to understand:*

9. The work areas and the people who you are planning to review.
10. What notice needs to be given before a review takes place.
11. Resources required for a review to take place
12. Effective communication techniques.

*For element 2 you need to understand:*

13. The industry/occupational area in which you are carrying out the review.
14. Effective interviewing techniques.
15. Presentational and communication skills.
16. Recording and reporting procedures.
17. Developing post review follow-up plans and monitoring measures.

## EVIDENCE GUIDE

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### (1) Critical Aspects of Evidence

Performance evidence must be provided against each of the performance criteria and should be the primary source of evidence, but this will often be supported by questioning or other forms in order to gather evidence of your ability to perform competently across all the range items listed. This performance evidence must be provided from real working practice. In order to demonstrate competence you must be able to show consistent competent performance.

The assessor must see performance evidence for each of the range items, as specified in both elements, appropriate to your own workplace context. Performance evidence must show from the range that you have:

- Carried out a minimum of **two reviews of safety and health** (range C) in different workplaces from those listed, and
- Used a minimum of **one** type of **review method** (range A) listed, and
- Agreed the use of a minimum of **two** types of **documentation and information** (range B) from those listed, and
- Covered all **areas for special checking** (range D).

The assessor will need to be satisfied that you have the necessary knowledge and understanding to perform competently in respect of **all** the range items listed in this unit. Answers to questions and other forms of evidence may additionally be used to demonstrate an understanding of the essential knowledge required for the unit, and for the specific knowledge required for each element.

**(2) Methods of Assessment**

You are required to provide the following evidence:

**A record of ONE Observation** of you carrying out a safety and health review by an assessor or a witness. (This witness must have been agreed by the assessor prior to the observation taking place.)

It is expected that your **record of the observation** will include evidence to demonstrate your competence in respect of **all** performance criteria for element 1.

**PLUS**

One **report** over time that identifies how you have planned, identified, defined and reviewed safety and health in your workplace. You must show your recording and reporting procedures including how you communicated with those affected.

It is expected that your **report** will include evidence to demonstrate your competence in respect of performance criteria 1, 2, 6 and 7 from element 1 and 2, 3, 4, 5 6, 7 and 8 from 2.

**PLUS**

**A record** of questioning or professional discussion with your assessor.

It is expected that your **record** of the professional discussion will include evidence to demonstrate your competence in respect of performance criteria 3, 4 and 5 from element 1 and 1 from 2.

In preparing your record, report and for the observation, knowledge evidence should be addressed.

**(3) Context of Assessment**

Simulation should not normally be used to produce evidence of a candidate's competence. Wherever practical all evidence must be derived from performance in the workplace. Simulation will be accepted where the candidate or others would be in personal danger or the company's operation would be significantly disrupted through real life assessment. The use of simulation must be approved by the external verifier.

**U18503: Promote a safety and health culture within the workplace**

## Unit Descriptor:

Fundamental to this unit is an understanding of the benefits to be derived from supporting safety and health procedures, and an understanding of how effectively safety and health is currently implemented within the workplace. The person undertaking this unit should be in a position to be able to promote those benefits.

**This unit is for:**

A person who has a responsibility for encouraging others to become aware of the importance of supporting safety and health procedures by promoting the benefits to be derived.

**This unit is about:**

Undertaking the research and planning that is necessary to affect a positive safety and health culture and involving others through consultation, communication and presentations. It is also about encouraging a culture where changes, which may impact on safety and health procedures and discussed and resolved with persons responsible for safety and health matters.

**Elements in this unit are:**

- 1 Develop plans to promote a safety and health culture in the workplace
- 2 Implement plans to promote a safety and health culture in the workplace

**This is what you need to show:**

**In Element 1** that you understand how a change in safety and health culture can be affected through identifying how the critical safety and health issues are disseminated within the workplace, identifying current practices with respect to safety and health, and planning an approach to improve the culture. It also covers planning what materials and resources may be necessary to effect the culture change.

**In Element 2** that you understand how to implement plans to promote safety and health improvement in the workplace. It includes communicating information on safety and health and giving advice. It also includes making recommendations to appropriate people, agreeing ways of discussing safety and health issues and reviewing the success of improvement plans.

**ELEMENT****PERFORMANCE CRITERIA**

*To be competent you must achieve the following:*

- |  |  |
|--|--|
| 1. Develop plans to promote safety and health culture in the workplace     | <p>1.1 Identify, generally, where improvements and changes may be necessary using all current <b>sources of information</b> available in the workplace.</p> <p>1.2 Find out, generally, the way information on safety and health procedures and regulations is currently disseminated within the workplace.</p> <p>1.3 Find out the current level of understanding of, and response to, <b>safety and health policies and procedures by people at work.</b></p> <p>1.4 Develop improvement plans which are based on your findings.</p> <p>1.5 Describe in your plans those resources, material and personnel which are necessary to improve the current safety and health culture.</p> <p>1.6 Show that your plans include suitable performance measures and review dates.</p> |
| 2. Implement plans to promote a safety and health culture in the workplace | <p>2.1 Present your plans for promoting a safety and health culture to <b>appropriate people</b> in a clear and effective manner.</p> <p>2.2 Identify, accurately, those people in the workplace who will require <b>information and advice</b> about the plans to promote a safety and health culture in the workplace.</p>   |

- 2.3 Check that relevant **information and advice** is provided at an appropriate time, level and pace.
- 2.4 Show that your plans include promoting the advantages and legal necessities of following safety and health procedures.
- 2.5 Provide practical opportunities for regular communications on **safety, health and welfare issues** and ways of encouraging ideas on good practice.
- 2.6 Monitor, regularly, the effectiveness of your plans against agreed performance measures.
- 2.7 Identify and review opportunities for further improvements to the safety and health culture in the workplace.

**RANGE STATEMENT**

*You must cover the items belows:*

**Element 1: Develop plans to promote safety and health culture in the workplace****A. Sources of information are:**

- (i) Workplace information and instruction on safety and health
- (ii) Workplace risk assessment results
- (iii) Workplace records holding data on incidents and accident
- (iv) Publications or information relating to good safety and health practice and legislation
- (v) Inspection reports

**B. Safety and Health policies and procedures cover:**

- (i) Provision of safety and health information
- (ii) Lines of communication and reporting
- (iii) Dealing with hazards in the workplace
- (iv) The responsible persons for safety and health

**C. People at work are:**

- (i) Colleagues working at the same level as yourself
- (ii) Part-time employees
- (iii) Higher-level colleagues or managers
- (iv) Contractors working at your workplace
- (v) Safety committee members/delegates

**Element 2: Implement plans to promote a safety and health culture in the workplace****D. Appropriate people are:**

- (i) Senior managers
- (ii) Line managers
- (iii) Employee representatives
- (iv) People directly affected by changes

**E. Information and advice on:**

- (i) General safety, health and welfare regulations and good practice
- (ii) Common hazards within the workplace
- (iii) Changes to workplace safety and health procedures
- (iv) Ideas to encourage good practice

**F. Safety, health and welfare issues are:**

- (i) Changes in working practices
- (ii) Impact of new technology
- (iii) Workplace safety and health procedures
- (iv) Training
- (v) Employee training and development
- (vi) Provision of first aid and other facilities

**UNDERPINNING KNOWLEDGE****Essential knowledge and understanding for this unit:**

To promote a safety and health culture within the workplace you should know and understand the following aspects of safety and health legislation:

1. Employers' and employees' legal duties for safety and health in the workplace as required by the Safety and Health at Work Act 2005-12.
2. Your responsibilities for safety and health as defined by any specific legislation covering your job role.

To promote a safety and health culture within the workplace you should know and understand the following relating to safety and health risks:

3. Interpreting safety and health data kept at the workplace on risk assessment, incidents and complaints for an appreciation of the level of understanding of safety within the workplace.
4. The organisation structure and lines of communication.
5. Workplace procedures for communicating with colleagues and others in the workplace.
6. What hazards may exist in your workplace.
7. The particular safety and health risks which may be present in your own job role.
8. The particular safety and health risks which may be present in other job roles.
9. The importance of remaining alert to the presence of hazards in the whole workplace.
10. The importance of dealing with or promptly reporting risks.

*For Element 1 you need to understand:*

11. The work areas and job roles where you are reviewing the current working practices.
12. Workplace requirements for conducting such a review of current working practices.
13. Own capabilities and scope of the job role.

*For Element 2 you need to understand:*

14. The work areas and people who work there and welfare issues.
15. The information needs of those people in the workplace affected by the plans.
16. The available information sources on safety and health within the workplace.

17. The importance of keeping people regularly informed and discussing their involvement.
18. How to coordinate relevant training.

## EVIDENCE REQUIREMENTS

### (1) Critical Aspects of Evidence

Performance evidence must be provided against each of the performance criteria and should be the primary source of evidence, but this will often be supported by questioning or other forms in order to gather evidence of your ability to perform competently across all the range items listed. This performance evidence must be provided from real working practice. In order to demonstrate competence you must be able to show consistent competent performance.

The assessor must see performance evidence for each of the range items, as specified in both elements, appropriate to your own workplace context. Performance evidence must show from the range that you have:

- Used a minimum of **two sources of information** to identify where improvements and changes may be necessary (range A), and
- Researched the level of understanding of a minimum of **two people at work** from those listed (range C), and
- Assessed the current level of understanding of **two safety and health policies and procedures** (range B), and
- Presented your plans to a minimum of **two types of appropriate people** listed (range D), and
- Identified the need for a minimum of **two types of information and advice** from those listed (range E), and
- Provided opportunities for communication on a minimum of **one of the safety and health issues** listed (range F).

The assessor will need to be satisfied that you have the necessary knowledge and understanding to perform competently in respect of all the range items listed in this unit. Answers to questions and other forms of evidence may additionally be used to demonstrate an understanding of the essential knowledge required for the unit, and for the specific knowledge required for each element.

**(2) Methods of Assessment**

You are required to provide the following evidence:

**One report** from a single project or similar pieces of work that outlines how you have developed plans to promote a safety and health culture (taking into account existing practices, ways of working, communication etc.). This will then lead into the part of the report where you show how you have implemented those plans and ended with a review of the implementation.

It is expected that your **report** will include evidence to demonstrate your competence in respect of all performance criteria from element 1 and performance criteria, 2, 3, 4, 6 and 7 from 2.

**PLUS**

**One witness testimony** describing how you develop procedures to control risks to safety and health, by a witness who regularly observes your working practices, e.g. a supervisor or team leader.

It is expected that your **witness testimony** will support your evidence to demonstrate your competence in respect of all performance criteria from elements 1 and 2.

**PLUS**

A **record** of questioning/professional discussion.

The **record** of your questioning or professional discussion should identify how you promote a safety and health culture within the workplace. The evidence will re-enforce your competence of performance criteria 1 and 5 from element 2.

Knowledge requirements should occur naturally within the overall report and in the questioning/professional discussion.

**(3) Context of Assessment**

Simulation should not normally be used to produce evidence of a candidate's competence. Wherever practical all evidence must be derived from performance in the workplace. Simulation will be accepted where the candidate or others would be in personal danger or the company's operation would be significantly disrupted through real life assessment. The use of simulation must be approved by the external verifier.

**U18603: Investigate and evaluate accidents, dangerous occurrences and complaints in the workplace**

Unit Descriptor:

Fundamental to this unit is an understanding of the terms ‘hazard’ and ‘risk’ – definitions are provided in the Glossary. Also, it is very important that the person undertaking this unit understands the scope of their investigative role – in that the evidence and findings collected within an investigation are likely to have legal implications.

**This unit is for:**

A non-safety and health specialist who has been made responsible for investigating incidents and complaints involving safety and health in the workplace, evaluating them and making recommendations as a result of these investigations.

**This unit is about:**

- Investigating incident and safety and health complaints and reporting on the findings of the investigation in line with statutory and organisational requirements.
- Making recommendations for improving safety and health in the workplace.

**Elements in this unit are:**

- 1 Investigate workplace incidents and complaints
- 2 Make recommendations as a result of workplace investigations.

**This is what you need to show:**

**In Element 1** that you understand the process of an investigation including being prepared, briefing people about what you will be asking them and reporting on the key details you have found.

**In Element 2** that you can identify possible causes of the incident or complaint, analyzing reports and materials and making recommendations to improve safety and health in the workplace. You should be able to prepare realistic and achievable action plans for improvement.

| <b>ELEMENT</b>   | <b>PERFORMANCE CRITERIA</b>   |
|--|---|
| 1. Investigate workplace incidents and complaints              | <p data-bbox="857 268 1377 300"><i>To be competent you must achieve the following:</i></p> <p data-bbox="857 331 1393 468">1.1 Investigate and report workplace <b>incidents and complaints</b> in accordance with legal and workplace requirements.</p> <p data-bbox="857 499 1393 594">1.2 Find and prepare the necessary documentation and support materials before the investigation starts.</p> <p data-bbox="857 625 1377 762">1.3 Brief <b>people involved</b> to ensure an understanding of the purpose of the investigation and how it will be conducted.</p> <p data-bbox="857 793 1425 888">1.4 Provide opportunities to those <b>people involved</b> to clarify any points about the investigation on which they are unsure.</p> <p data-bbox="857 919 1393 1056">1.5 Gather detailed, accurate and comprehensive information from the <b>people involved</b> in a supportive and sensitive manner.</p> <p data-bbox="857 1087 1425 1161">1.6 Check all documentary evidence to identify and review any inconsistencies.</p> <p data-bbox="857 1192 1409 1287">1.7 Prepare a report containing the <b>details of incidents and complaints</b> in the required format and timescale.</p> <p data-bbox="857 1318 1377 1434">1.8 Forward the report to a responsible person requesting the report in the agreed timescale.</p> |
| 2. Make recommendations as a result of workplace investigation | <p data-bbox="857 1470 1377 1627">2.1 Base your <b>recommendations</b> for improving safety and health on an accurate and detailed analysis of all reports, advice and support material collected during the investigation.</p> <p data-bbox="857 1659 1442 1875">2.2 Develop <b>recommendations</b> which comply with:</p> <ul data-bbox="971 1774 1442 1875" style="list-style-type: none"><li data-bbox="971 1774 1409 1806">• current working practices, and</li><li data-bbox="971 1806 1442 1875">• relevant legislation and workplace safety and health procedures</li></ul>   |

- 2.3 Develop **recommendations** for improving safety and health which are workable and include measures for review.
- 2.4 Present your **recommendations** to the appropriate people clearly and in an agreed format and timescale.
- 2.5 Produce realistic and achievable **action plans** for implementing your recommendations for change.
- 2.6 Include in your **action plans** a review process to check implementation of the recommendations.

### **RANGE STATEMENT**

*You must cover the items below:*

#### **Element 1: Investigate workplace incidents and complaints**

##### **A. Incidents and complaints** are those:

- (i) Reportable under legal requirements
- (ii) Reportable under workplace requirements

##### **B. People involved** are:

- (i) Witnesses/observers to the incidents or the situation prompting the complaint
- (ii) Persons directly involved in the incident or the situation prompting the complaint

##### **C. Details of incidents and complaints** are:

- (i) Names of those involved
- (ii) When and where it happened
- (iii) What happened including injuries or damage caused
- (iv) Why it happened including immediate and underlying causes

**Element 2: Make recommendations as a result of workplace investigations**

**D. Recommendations cover:**

- (i) The use of machinery, equipment and substances
- (ii) Working practices
- (iii) Safety and health information and instruction
- (iv) Changes to procedures and policies

**E. Action plans cover:**

- (i) Involvement of external safety and health experts
- (ii) Involvement of persons in the workplace responsible for safety and health

**UNDERPINNING KNOWLEDGE AND SKILLS**

**Essential underpinning knowledge and skills for this unit:**

To investigate and evaluate incidents and complaints in the workplace you should know and understand the following aspects of safety and health legislation:

1. Employers' and employees' legal duties for safety and health in the workplace as required by the Safety and Health at Work Act 2005-12.
2. Your responsibilities for safety and health as defined by any specific legislation covering your job role.

To investigate and evaluate incidents and complaints in the workplace you should know and understand the following relating to safety and health:

3. Statutory and organisational requirements with regards to the confidentiality of reports.
4. The work areas and job roles where you are carrying out the investigation.
5. Own capabilities and the scope of the job role with regard to the investigations.
6. Effective interviewing techniques.
7. Workplace requirements for conducting investigations and reporting investigations.
8. What hazards may exist in your workplace.
9. The particular safety and health risks which may be present in your own job role.
10. The importance of remaining alert to the presence of hazards in the whole workplace.
11. The importance of dealing with or promptly reporting risks.

*For Element 1 you need to understand:*

12. Methods of communication particularly in dealing with people at different levels.

*For Element 2 you must understand:*

13. Analytical techniques.
14. Writing action plans.
15. Workplace budgets in relation to carrying out an investigation.
16. Effective presentational techniques.

## **EVIDENCE REQUIREMENTS**

### **(1) Critical Aspects of Evidence**

Performance evidence must be provided against each of the performance criteria and should be the primary source of evidence, but this will often be supported by questioning or other forms in order to gather evidence of your ability to perform competently across all the range items listed. This performance evidence must be provided from real working practice. In order to demonstrate competence you must be able to show consistent performance.

The assessor must see performance evidence for each of the range items, as specified in both elements, appropriate to your own workplace context. Performance evidence must show from the range that you have:

- Investigated a minimum of **one** of **the incidents and complaints** listed (range A), and
- Talked with **both** types of **people involved** (range B), and
- Prepared reports containing **all** types of **detail of incidents and complaints** listed (range C), and
- Make a minimum of **one** of the types of **recommendations** listed (range D), and
- Produced **action plans** covering the minimum of **one** of the items listed (range E).

The assessor will need to be satisfied that you have the necessary knowledge and understanding to perform competently in respect of all the range items listed in this unit. Answers to questions and other forms of evidence may additionally be used to demonstrate an understanding of the essential knowledge required for the unit, and for the specific knowledge required for each element.

**(2) Methods of Assessment**

You are required to provide the following evidence:

One overall **report** over time that shows how you have investigated, evaluated and reported workplace incidents and complaints (at least **two** significant incidents and **two** complaints). Your report must show how you have adequately communicated the results of the investigation to people in an acceptable format and proper to the circumstances, with confidentiality where appropriate.

It is expected that your **report** will include evidence to demonstrate your competence in respect of performance criteria, 1, 2, 5, 6 and 7 from element 1 and all the performance criteria in 2

Products to support your report.

**PLUS**

**One record** of an **observation** of you actively briefing people at different levels in the organisation prior to the investigation and for clarification during the investigation by an assessor or a witness. (This witness must have been agreed by the assessor prior to the observation taking place.)

It is expected that the **record** of an **observation** will include evidence to demonstrate your competence in respect of performance criteria, 3, 4 and 5 from element 1.

Knowledge requirements should occur naturally within the overall report and the observation record.

**(3) Context of Assessment**

Simulation should not normally be used to produce evidence of a candidate's competence. Wherever practical all evidence must be derived from performance in the workplace. Simulation will be accepted where the candidate or others would be in personal danger or the company's operation would be significantly disrupted through real life assessment. The use of simulation must be approved by the external verifier.

**U18703: Conduct an assessment of risks in the workplace**

## Unit Descriptor:

Fundamental to this unit is an understanding of the process of carrying out a risk assessment. A person competent in this unit should be able to carry out risk assessment according to regulatory requirements.

**This unit is for:**

A person required to, or who has been asked to, carry out a risk assessment in the workplace. This could be an employer, line manager, supervisor, safety representative or employee.

**This unit is about:**

The competences needed to identify hazards in the workplace, assess the level of risk resulting from those hazards, make recommendations to control the risk and review the results.

**Elements in this unit are:**

- 1 Identify hazards in the workplace
- 2 Assess the level of risk and recommend action
- 3 Review your workplace assessment of risks

**This is what you need to show:**

**In Element 1** that you understand the process of identifying hazards in the workplace. You should be prepared for the hazard identification process, and investigate both those areas where risks are most likely to occur and those who might be harmed. You should be able to identify when to make use of expert advice and guidance on identifying hazards.

**In Element 2** that you understand the criteria for assessing the level of risk. You should show you know the criteria for acceptable risks and understand when risks are unacceptable. You should show you can prepare and present a report on the results of the risk assessment to include those significant findings of your risk assessment.

**In Element 3** that you should understand the importance of reviewing your assessment from time to time. This will include understanding when changed circumstances might affect your current assessment. You should also show you understand how to revise it if necessary.

| ELEMENT  | PERFORMANCE CRITERIA   |
|--|--|
|  | <i>To be competent you must achieve the following:</i>   |
| 1. Identify hazards in the workplace             | <p>1.1 Define, clearly, why and where the risk assessment will be carried out.</p> <p>1.2 Confirm that all the information available to you on statutory safety and health regulations is up to date and from recognised and reliable <b>information sources</b>.</p> <p>1.3 Recognize your own limitations and seek expert advice and guidance on risk assessment when appropriate.</p> <p>1.4 Select a method of identifying hazards appropriate to the workplace being assessed.</p> <p>1.5 Identify fully those areas under investigation review where <b>hazards</b> with a potential for harm to safety and health are most likely to occur.</p> <p>1.6 Identify <b>hazards</b> which could result in harm to people at work or other persons.</p> <p>1.7 Record those <b>hazards</b> in a way which meets legal, good practice and workplace requirements.</p> <p>1.8 Report results of the process to the responsible persons in an agreed format and timescale.</p> |
| 2. Assess the level of risk and recommend action | <p>2.1 Review the relevant legal requirements that are appropriate to your workplace and working practices to ensure effective control measures are in place.</p> <p>2.2 Confirm that industry standards and all other reasonable precautions are in place.</p> <p>2.3 Identify hazards that could be eliminated.</p> <p>2.4 Identify hazards that cannot be eliminated.</p>   |

- 2.5 Assess the level of risk and consider how the risks can be controlled to minimise harm.
- 2.6 List unacceptable risks in priority order including all breaches of relevant safety and health legislation and workplace procedures.
- 2.7 Prepare a risk assessment report containing recommendations for minimizing risks.
- 2.8 Present the results of the risk assessment to **responsible persons** in the agreed format and timescale.

### **RANGE STATEMENT**

*You must cover the items below:*

#### **Element 1: Identify hazards in the workplace**

##### **A. Information sources are:**

- (i) Internal safety and health experts
- (ii) Labour Department
- (iii) Relevant industry publications
- (iv) External organizations

##### **B. Hazards relating to:**

- (i) The use of plant and equipment
- (ii) The use of substances hazardous to health
- (iii) The workplace layout
- (iv) The working practices
- (v) The job role
- (vi) People with special needs

**Element 2: Assess the level of risk and recommend action****C. Responsible persons are:**

- (i) Managers/supervisors associated with the examined activities
- (ii) Employees associated with the examined activities/decision makers
- (iii) Union representatives
- (iv) Staff representatives
- (v) Safety committee

**Element 3: Review your own workplace assessment of risks****D. Previous and new working practices relating to:**

- (i) Plant, machinery and equipment
- (ii) Substances or materials
- (iii) People

**E. Changes in the workplace relating to:**

- (i) Layout of workplace
- (ii) New facilities and services
- (iii) New equipment
- (iv) New procedures
- (v) Hazard communication

**UNDERPINNING KNOWLEDGE AND SKILLS****Essential underpinning knowledge and skills for this unit:**

To conduct an assessment of risks in the workplace you should know and understand the following aspects of safety and health legislation:

1. The responsibilities for risk assessments as required by the Management of Safety and Health at Work Regulations 1992 and other related regulations.
2. Your legal duties for safety and health in the workplace as required by the Safety and Health at Work Act 2005-12.
3. Your duties for safety and health as defined by any specific legislation covering your job role.

To conduct an assessment of risks in the workplace you should know and understand the following relating to safety and health:

4. Effective procedures for carrying out a risk assessment.
5. The purpose, legal implications and importance of carrying out risk assessments.
6. What to do with the results of the risk assessment.
7. Hazards that are most likely to cause harm to safety and health.
8. The particular safety and health risks which may be present in your own job role and the precautions to be taken.
9. The importance of remaining alert to the presence of hazards in the whole workplace.
10. The importance of dealing with or promptly reporting risks.

*For Element 1 you need to understand:*

11. Methods of identifying hazards including direct observation, examining records, or interviews.
12. The work areas and people for whom you are carrying out the assessment.
13. Work activities of the people in the workplace where you are carrying out the risk assessment.
14. Resources required for a risk assessment to take place.
15. Information sources for risk assessment (e.g. The Labour Department).
16. Where to find expert advice and guidance.

*For Element 2 you need to understand:*

17. Your own limitations, job responsibilities and capabilities.
18. Effective communication methods.
19. Work activities of the people in the workplace where you are carrying out the risk assessment
20. Resources required for a risk assessment to take place.
21. Effective communication methods.

*For Element 3 you need to understand:*

22. Methods of identifying hazards.
23. Your own limitations, job responsibilities and capabilities.
24. The work areas and people for whom you are carrying out the assessment.
25. Work activities of the people in the workplace where you are carrying out the risk assessment.
26. Effective communication methods.

## EVIDENCE GUIDE

### (1) Critical Aspects of Evidence

Performance evidence must be provided against each of the performance criteria and should be the primary source of evidence, but this will often be supported by questioning or other forms in order to gather evidence of your ability to perform competently across all the range items listed. This performance evidence must be provided from real working practice. In order to demonstrate competence you must be able to show consistent competent performance.

The assessor must see performance evidence for each of the range items, as specified all **three** elements, appropriate to your own workplace context. Performance evidence must show from the range that you have:

- Identified a minimum of **two** types of **hazard** from those listed (range B), and
- Used a minimum of **one** type of **information source** (range A), and
- Presented the results of a risk assessment to a minimum of **two responsible persons** from the list given (range C), and
- Made comparison between **previous and new working practices** for a minimum of **one** of the types listed (range D), and
- Assessed a minimum of **one** of the types of **changes in the workplace** for new hazards from those listed (range E).

The assessor will need to be satisfied that you have the necessary knowledge and understanding to perform competently in respect of **all** the range items listed in this unit. Answers to questions and other forms of evidence may additionally be used to demonstrate an understanding of the essential knowledge required for the unit, and for the specific knowledge required for each element.

**(2) Methods of Assessment**

You are required to provide the following evidence:

One **record** that shows how you have determined what the hazards, associated risks and suitable control measures are within your workplace, using all available techniques. You must take into account risk to yourself, others, and the organisation overall.

It is expected that the **record** will include evidence to demonstrate your competence in respect of all performance criteria in element 1 and 2.

**PLUS**

One **record** of an **observation** of you conducting an assessment of risks in the workplace by an assessor or a witness. (This witness must have been agreed by the assessor prior to the observation taking place.)

It is expected that your **record** will include evidence to demonstrate your competence in respect of **all** performance criteria from elements 1.

**PLUS**

One **record** of questioning or professional discussion to ascertain that you can review existing risk assessments by using the correct criteria and the mechanisms you would use to inform the appropriate people.

It is expected that your **record** will include evidence to demonstrate your competence in respect of all performance criteria from element 3.

**PLUS**

Products to support your records.

Knowledge requirements should occur naturally within the overall record and questioning/professional discussion.

**(3) Context of Assessment**

Simulation should not normally be used to produce evidence of a candidate's competence. Wherever practical all evidence must be derived from performance in the workplace. Simulation will be accepted where the candidate or others would be in personal danger or the company's operation would be significantly disrupted through real life assessment. The use of simulation must be approved by the external verifier.

**U18803: Ensure your own actions aim to protect the environment**

## Unit Descriptor:

Fundamental to this unit is an awareness and understanding of the impact of working practices on the environment. It is important to have a basic understanding of good practice in protecting the environment. This unit does not assume a person with high level responsibilities for the environment already exists in the workplace.

**This unit is for:**

Everyone at work (i.e. paid, unpaid, full-time, part-time). It is about maintaining good practice in day-to-day work activities by identifying the risks, minimizing the risks and using resources responsibly.

**This unit is about:**

The responsibilities of everyone at work for minimising risks to the environment as a result of work activities. It describes the competences required to ensure that:

- Your own actions do not create any risks to the environment
- You do not ignore significant risks to the environment, and
- You take sensible action to put things right, including reporting risks, and seeking advice.

**Elements in this unit are:**

- 1 Identifying the risks to the environment arising as a result of workplace activities
- 2 Minimising risks to the environment arising as a result of workplace activities

**This is what you need to show:**

**In Element 1** that you understand how activities at the workplace might affect the environment, how to check your own work activities and work area for any hazards which you or others may bring about and cause harm to the environment. You should be able to identify those hazards with significant risks which you can safely deal with yourself, and when you must report them to the 'responsible person' for attention.

**In Element 2** that you show you have taken steps to reduce risks to the environment which have arisen as a result of your action, or action by others with whom you might come into contact with during the course of your work. It covers carrying out tasks in accordance with instructions and the requirements of the workplace.

| ELEMENT  | PERFORMANCE CRITERIA  |
|--|---|
|  | <i>To be competent you must achieve the following:</i>  |
| 1. Identify the risks of the environment arising as a result of workplace activities | <p>1.1 Name correctly and locate the responsible persons in the workplace to whom you should report environmental matters.</p> <p>1.2 Keep up-to-date on environmentally-friendly working practices which are relevant to your workplace.</p> <p>1.3 Identify any current working practices in your job role which could cause harm to the environment.</p> <p>1.4 Identify any materials, products or equipment used in any part of your job role which could cause harm to the environment.</p> <p>1.5 Report, accurately, any difference between legal and workplace regulations and the actual use of materials or products hazardous to the environment.</p> <p>1.6 Report, promptly, those hazards which present high <b>risks</b> to the persons responsible for environmental matters.</p> <p>1.7 Report, promptly, those hazards which present high <b>risks</b> to the persons responsible for environmental matters.</p> |
| 2. Minimise risks to the environment arising as a result of workplace activities     | <p>2.1 Follow the up-to-date <b>legal requirements, local guidelines and workplace environmental procedures</b> for your job role.</p> <p>2.2 Control those environmental hazards within your capability and the scope of your job responsibilities.</p> <p>2.3 <b>Report</b>, promptly, risks to the environment that you are unable to deal with.</p>   |

- 2.4 Pass on any suggestions for limiting risks to the environment to the responsible persons.
- 2.5 Follow suppliers, manufacturers and workplace instructions and information for the safe use and storage of materials and products.
- 2.6 Follow suppliers, and manufacturers and workplace instructions for the safe use and storage of equipment.
- 2.7 Follow the correct procedures for handling materials and products hazardous to the environment.
- 2.8 Follow the correct procedures for disposing of materials and products hazardous to the environment.

**RANGE STATEMENT**

*You must cover the items below:*

**Element 1: Identify the risks to the environment arising as a result of workplace activities****A. Risks to the environment** arising from:

- (i) The use of materials and substances hazardous to the environment
- (ii) The disposal of waste, materials and substances hazardous to the environment
- (iii) Emission of gases, fumes or dust

**Element 2: Minimise risks to the environment arising as a result of workplace activities****B. Legal requirements, guidelines and workplace environmental procedures** covering:

- (i) Waste minimisation
- (ii) The use of environmentally safe working methods and equipment
- (iii) The use of personal protection equipment
- (iv) What to do in the event of an emergency involving environmental hazards
- (v) Authorization for handling, storing, using or disposing hazardous materials, products or equipment

**C. Types of reports:**

- (i) Oral reports
- (ii) Written reports

**UNDERPINNING KNOWLEDGE AND SKILLS****Essential underpinning knowledge and skills for this unit:**

In order to reduce risks to the environment arising as a result of workplace activities you should know and understand the following aspects of environmental legislation:

1. Relevant aspects of the Environmental Protection Act and relevant regulations which will affect the workplace.
2. Your duties for the environment as defined by any specific legislation covering your job role.

In order to protect the environment from damage as a result of workplace activities you should know and understand the following relating to risks to the environment:

3. The particular risks to the environment which may be present in your workplace and/or in your own job role.
4. How to use resources and materials effectively and efficiently.
5. The importance of remaining alert to the presence of hazards to the environment in the whole workplace.
6. The importance of dealing with or promptly reporting risks to the environment.
7. Substances and processes categorised as hazardous to the environment.

*For Element 1 you need to understand:*

8. Workplace policies, precautions and procedures relating to controlling risks to the environment.
9. Responsibilities for items (materials/equipment) hazardous to the environment in your job description.
10. The responsible persons to whom to report environmental matters.

*For Element 2 you need to understand:*

11. The specific workplace environmental procedures covering your job role.
12. Suppliers, manufacturers and workplace instructions and information for the use of equipment, materials and products hazardous to the environment.
13. Working practices for your own job role.
14. Correct handling procedures for materials hazardous to the environment.
15. Your own responsibility for controlling hazards to the environment.
16. Workplace requirements for handling hazards to the environment which you are unable to deal with.

**EVIDENCE GUIDE****(1) Critical Aspects of Evidence**

Performance evidence must be provided against each of the performance criteria and should be the primary source of evidence, but this will often be supported by questioning or other forms in order to gather evidence of your ability to perform competently across all the range items listed. This performance evidence must be provided from real working practice. In order to demonstrate competence you must be able to show consistent competent performance.

The assessor must see performance evidence for each of the range items, as specified all three elements, appropriate to your own workplace context. Performance evidence must show from the range that you have:

- Identified a and reported a minimum of **two** types of **risks to the environment** from those listed (range A), and
- Followed a minimum of **two of the legal and workplace environmental procedures** listed (range B), and
- **Reported** environmental hazards using a minimum of **one** type of method listed (range C).

The assessor will need to be satisfied that you have the necessary knowledge and understanding to perform competently in respect of all the range items listed in this unit. Answers to questions and other forms of evidence may additionally be used to demonstrate an understanding of the essential knowledge required for the unit, and for the specific knowledge required for each element.

**(2) Methods of Assessment**

You are required to provide the following evidence:

One **record** of an **observation** of you following correct procedures regarding risks to the environment and passing on information to responsible persons by an assessor or a witness. (This witness must have been agreed by the assessor prior to the observation taking place.)

It is expected that the record of an **observation** will include evidence to demonstrate your competence in respect of performance criteria 3, 4, 5, 6, 7 and 8 from element 2.

**PLUS**

A **report** identifying the environmental risks in your current working practices and how you would control those risks.

It is expected that your **report** will include evidence to demonstrate your competence in respect of performance criteria 5, 6, and 7 from element 1 and performance criteria 1 and 2 from 2.

**PLUS**

One **record** of questioning or professional discussion to ascertain that you understand how activities in the workplace, and in particular your job role, might affect the environment and that you know who is the responsible person.

It is expected that your **record** will include evidence to demonstrate your competence in respect of performance criteria 1, 2, 3 and 4 from element 1.

**PLUS**

Products to support your records.

Knowledge requirements 1 to 16 should occur naturally within the overall record, observation and professional discussion.

**(3) Context of Assessment**

Simulation should not normally be used to produce evidence of a candidate's competence. Wherever practical all evidence must be derived from performance in the workplace. Simulation will be accepted where the candidate or others would be in personal danger or the company's operation would be significantly disrupted through real life assessment. The use of simulation must be approved by the external verifier.

## U09602: Give customers a positive impression of yourself and your organisation

### Unit Descriptor:

Excellent customer service is provided by people who are good with people.

Your behaviour affects the impression that customers form of the service they are receiving.

This unit is all about communicating with customers and giving a positive impression of yourself whenever you deal with a customer. By doing this you will also be giving a positive impression of your organisation and the customer service it provides.

All of us enjoy the experience of good customer service if we feel that the person serving us really wants to create the right impression, respond to us and give us good information. Every detail of your behaviour when dealing with a customer counts and this unit gives you the opportunity to prove that you can create that positive impression.

### ELEMENT

### PERFORMANCE CRITERIA

*To be competent you must achieve the following:*

- |   |  |
|---|--|
| 1. Establish effective relationships with customers | 1.1 Meet your organisation's standards for appearance and behaviour.   |
|   | 1.2 Greet your <b>customers</b> in a way that will make them feel welcome and shows that you are interested in serving them. |
|   | 1.3 <b>Communicate</b> with your customers in a manner that makes them feel valued and respected.                            |
|   | 1.4 Identify and confirm the needs and expectations of your customers.   |
|   | 1.5 Treat your customers courteously and helpfully even when you are working under pressure.                                 |
|   | 1.6 Maintain communication with customers to ensure that they are kept informed and reassured.                               |

- 1.7 Adapt your behaviour to respond effectively to different customer behaviour.
- 2. Respond appropriately to customers
  - 2.1 Respond appropriately to **customers** who indicate that they need or want your attention.
  - 2.2 Select an appropriate way of **communicating** with your customers to suit their individual needs.
  - 2.3 Respond promptly and positively to your customers' questions and comments.
  - 2.4 Allow your customers time to consider your response and give further explanation when appropriate.
  - 2.5 Check with your customers that you have fully understood their needs and expectations.
- 3. Communicate information to customers
  - 3.1 Locate information that will help your **customers** quickly.
  - 3.2 **Communicate** to your customers the information they need about the products or services offered by your organisation.
  - 3.3 Recognise information that your customers might find complicated and check whether they fully understand.
  - 3.4 Explain clearly to your customers any reasons why their needs and expectations cannot be met.

**RANGE STATEMENT**

*You must cover the items below:*

**Element 1: Establish effective relationships with customers****A. Types of customers: *(Also applies to Elements 2 and 3)***

- (i) have different needs and expectations
- (ii) appear angry
- (iii) appear confused
- (iv) behave unconventionally

**B. Communicate by: *(Also applies to Elements 2 and 3)***

- (i) face-to-face methods (including verbal and non-verbal communication)
- (ii) using the telephone
- (iii) using written (including electronic) methods

**C. Give customers a positive impression: *(Also applies to Elements 2 and 3)***

- (i) during routine delivery of customer service
- (ii) during a busy period for your organisation
- (iii) during a quiet period for your organisation
- (iv) when people, systems or resources have let you down
- (v) when dealing with unusual variations to normal customer enquiries
- (vi) when dealing with customer complaints
- (vii) when dealing with customer enquiries that contain aspects outside your immediate job responsibilities

**UNDERPINNING KNOWLEDGE AND SKILLS****Legislation and regulations**

1. What are your customers' rights.
2. What are the specific aspects of :
  - a. health and safety
  - b. data protection
  - c. equal opportunities
  - d. disability discrimination, legislation and regulations that affect the way the products and services you deal with can be delivered to your customers.
3. What are the industry, organisational and professional codes of practice and ethical standards that affect the way the products or services you deal with can be delivered to your customers.
4. What are the contractual agreements, if any; customers have with your organisation.

**Products and services**

5. What are the products or services of your organisation relevant to your customer service role.

**Organisational procedures/guidelines**

6. What are the guidelines laid down by your organisation that limits what you can do within your job.
7. What are the limits of your own authority and when do you need to seek agreement with or permission from others.
8. What are the organisational targets relevant to your job, your role in meeting them and the implications for your organisation if those targets are not met.
9. What are your organisation's standards for appearance and behaviour.
10. What are your organisation's guidelines for recognizing customers' needs and expectations and responding positively to them.

**Communication**

11. How would you communicate in a clear, polite, confident way and why this is important.
12. What are the rules and procedures regarding the methods of communication you use.
13. How would you recognize when a customer is angry and confused.

**EVIDENCE GUIDE****(1) Critical Aspects of Evidence**

You must provide evidence that shows you have performed over a sufficient period of time with different customers on different occasions for your assessor to be confident that you are competent in meeting all the performance criteria across all aspects of the range.

You must provide evidence of creating a positive impression with customers:

- a. during routine delivery of customer service
- b. during a busy period for your organisation
- c. during a quiet period for your organisation
- d. when people, systems or resources have let you down
- e. when dealing with unusual variations to normal customer enquiries
- f. when dealing with customer complaints
- g. when dealing with customer enquiries that contain aspects outside your immediate job responsibilities.

You also need to show that you have dealt with customers who:

- h. have different needs and expectations
- i. appear angry
- j. appear confused
- k. behave unconventionally

You will need to show in your evidence that you have worked within the rules, regulations and guidelines of your organisation and, where your knowledge of these is limited, you will need to show that you have gone to others for help or advice.

Your communication with customers may be face-to-face, in writing, by telephone, e-mail, internet or by any other method you would be expected to use within your job role.

You must prove that you communicate with customers effectively by providing evidence that you:

- l. use appropriate spoken or written language
- m. apply the rules and procedures suitable for the method of communication you have chosen.

Your evidence must show that you have applied the knowledge and understanding requirements when you are dealing with your customers.

## (2) Methods of Assessment

**Performance Evidence** for this unit could include:

- Observation reports by your assessor recording how you create a positive impression with customers.
- Copies of your written communications with customers.

**Supplementary evidence** for this unit could include:

- Witness testimonies from your manager that provide evidence of how you have consistently been able to positively respond to a wide range of customers and their needs in a variety of context over a period of time.
- Witness testimony from customers on how you have created a positive impression of yourself and your organisation while serving them.
- Case histories and personal statements which show how you have created a positive impression with different customers in different circumstances.
- A professional discussion with your assessor using examples of how you have been able to effectively deal with difficult customers.

**Knowledge and understanding evidence** for this unit could include:

- Answers to questions given to you by your assessor.

## (3) Context of Assessment

Your evidence should be collected when you are dealing with real customers, whether internal or external to the organisation:

- when carrying out a real job, whether paid or voluntary;
- in a realistic working environment;
- in a work placement
- Simulation is **not** allowed for any performance evidence within this unit.