Establish and maintain a safe and secure workplace

D1.HSS.CL4.01
D2.TRM.CL9.04

Assessor Manual

ally sa
10
10
8
ess
9
10
Efficiency
10
Knowledge

Australian Aid
asean
William Angliss Institute
Specialist centre for foods, tourism & hospitality

Establish and maintain a safe and secure workplace

D1.HSS.CL4.01
D2.TRM.CL9.04

Assessor Manual

Project Base

William Angliss Institute of TAFE
555 La Trobe Street
Melbourne 3000 Victoria
Telephone: (03) 9606 2111
Facsimile: (03) 9670 1330

Acknowledgements

Project Director:	Wayne Crosbie
Chief Writer:	Alan Hickman
Subject Writers:	Alan Hickman, Nick Hyland
Project Manager:	Alan Maguire
Editor:	Jim Irwin
DTP/Production	Daniel Chee, Mai Vu, Jirayu Thangcharoensamut, Kaly Quach

The Association of Southeast Asian Nations (ASEAN) was established on 8 August 1967. The Member States of the Association are Brunei Darussalam, Cambodia, Indonesia, Lao PDR, Malaysia, Myanmar, Philippines, Singapore, Thailand and Viet Nam.

The ASEAN Secretariat is based in Jakarta, Indonesia.

General Information on ASEAN appears online at the ASEAN Website: www.asean.org.

All text is produced by William Angliss Institute of TAFE for the ASEAN Project on “Toolbox Development for Priority Tourism Labour Division”.

This publication is supported by the Australian Government’s aid program through the ASEAN-Australia Development Cooperation Program Phase II (AADCP II).

Copyright: Association of Southeast Asian Nations (ASEAN) 2012.

All rights reserved.

Disclaimer

Every effort has been made to ensure that this publication is free from errors or omissions. However, you should conduct your own enquiries and seek professional advice before relying on any fact, statement or matter contained in this book. The ASEAN Secretariat and William Angliss Institute of TAFE are not responsible for any injury, loss or damage as a result of material included or omitted from this course. Information in this module is current at the time of publication. Time of publication is indicated in the date stamp at the bottom of each page.

Some images appearing in this resource have been purchased from stock photography suppliers Shutterstock and iStockphoto and other third party copyright owners and as such are non-transferable and non-exclusive. Clip arts, font images and illustrations used are from the Microsoft Office Clip Art and Media Library. Some images have been provided by and are the property of William Angliss Institute.

Additional images have been sourced from Flickr and SXC and are used under Creative Commons licence: http://creativecommons.org/licenses/by/2.0/deed.en

File name: AM_Est_maintain_a_safe__secure_workplace_refined

Table of Contents

Competency Based Assessment (CBA) – An introduction for assessors 1

Competency Standard 11

Oral Questions 25

Written Questions 37

Answers to Written Questions 45

Observation Checklist 55

Third Party Statement 59

Competency Recording Sheet 61

Competency Based Assessment (CBA) – An introduction for assessors

Assessment is the process of identifying a participant's current knowledge, skills and attitudes sets against all elements of competency within a unit of competency.

Suggested assessment methods

For each unit of competency a number of assessment tools have been identified including:

- Work Projects
- Oral Questions
- Written Questions
- Third Party Statements
- Observation Checklists.

Instructions and Evidence Recording Sheets have been identified in this Assessment Manual for use by Assessors.

Alternative assessment methods

Whilst the above mentioned assessment methods are suggested assessment methods, the assessor may use an alternate method of assessment taking into account:

a) The nature of the unit
b) The strengths of participants
c) The number of participants in the class
d) Time required to complete assessments
e) Time dedicated to assessment
f) Equipment and resources required.

Alternate assessment methods include:

- Practical demonstrations
- Practical demonstrations in simulated work conditions
- Problem solving
- Portfolios of evidence
- Critical incident reports
- Journals
- Oral presentations
- Interviews
- Videos
- Visuals/slides/audiotapes
- Log books
- Projects and Role plays

- Group projects
- Recognition of Prior Learning.

Whilst there is no specific instruction or evidence collection documents for all the alternative assessment methods, assessors can record competency in the 'Other' section within the 'Competency Recording Sheet'.

Selection of assessment methods

Each assessor will determine the combination of Assessment Methods to be used to determine Competency for each Competency Unit on a student by student basis.

'Sufficient' evidence to support the 'Pass Competent'/'Not Yet Competent' decision must be captured.

In practice this means a minimum of 2 – 3 Assessment Methods for each candidate for each Competency Element is suggested.

At least one method should provide evidence of practical demonstration of competence.

The following assessment methods deemed to provide evidence of practical demonstration of competence include:

- Practical Work Projects
- Third Party Statement
- Observation Checklist.

Assessing competency

Competency based assessment does not award grades, but simply identifies if the participant has the knowledge, skills and attitudes to undertake the required task to the specified standard.

Therefore, when assessing competency, an assessor has two possible results that can be awarded:

- 'Pass Competent' (PC)
- 'Not Yet Competent' (NYC).

Pass Competent (PC)

If the participant is able to successfully answer or demonstrate what is required, to the expected standards of the performance criteria, they will be deemed as 'Pass Competent' (PC).

The assessor will award a 'Pass Competent' (PC) if they feel the participant has the necessary knowledge, skills and attitudes in all assessment tasks for a unit.

Not Yet Competent' (NYC)

If the participant is unable to answer or demonstrate competency to the desired standard, they will be deemed to be 'Not Yet Competent' (NYC).

This does not mean the participant will need to complete all the assessment tasks again. The focus will be on the specific assessment tasks that were not performed to the expected standards.

The participant may be required to:

a) Undertake further training or instruction

b) Undertake the assessment task again until they are deemed to be 'Pass Competent'.

Regional Qualifications Framework and Skills Recognition System

The 'Regional Qualifications Framework and Skills Recognition System', also known as the 'RQFSRS' is the overriding educational framework for the ASEAN region.

The purpose of this framework is to provide:

- A standardised teaching and assessment framework
- Mutual recognition of participant achievement across the ASEAN region. This includes achievement in individual Units of Competency or qualifications as a whole.

The role of the 'RQFSRS' is to provide, ensure and maintain 'quality assurance' across all countries and educational providers across the ASEAN region.

Recognition of Prior Learning (RPL)

Recognition of Prior Learning is the process that gives current industry professionals who do not have a formal qualification, the opportunity to benchmark their extensive skills and experience against the standards set out in each unit of competency/subject.

This process is a learning and assessment pathway which encompasses:

- Recognition of Current Competencies (RCC)
- Skills auditing
- Gap analysis and training
- Credit transfer.

Code of practice for assessors

This Code of Practice provides:

- Assessors with direction on the standard of practice expected of them
- Candidates with assurance of the standards of practice expected of assessors
- Employers with assurance of the standards maintained in the conduct of assessment.

The Code detailed below is based on the International Code of Ethics and Practice (The National Council for Measurement in Education [NCME]):

- The differing needs and requirements of the person being assessed, the local enterprise and/or industry are identified and handled with sensitivity
- Potential forms of conflict of interest in the assessment process and/or outcomes are identified and appropriate referrals are made, if necessary
- All forms of harassment are avoided throughout the planning, conducting, reviewing and reporting of the assessment outcomes

- The rights of the candidate are protected during and after the assessment
- Personal and interpersonal factors that are not relevant to the assessment of competency must not influence the assessment outcomes
- The candidate is made aware of rights and process of appeal
- Evidence that is gathered during the assessment is verified for validity, reliability, authenticity, sufficiency and currency
- Assessment decisions are based on available evidence that can be produced and verified by another assessor
- Assessments are conducted within the boundaries of the assessment system policies and procedures
- Formal agreement is obtained from both the candidate and the assessor that the assessment was carried out in accordance with agreed procedures
- The candidate is informed of all assessment reporting processes prior to the assessment
- The candidate is informed of all known potential consequences of decisions arising from an assessment, prior to the assessment
- Confidentiality is maintained regarding assessment results
- The assessment results are used consistently with the purposes explained to the candidate
- Opportunities are created for technical assistance in planning, conducting and reviewing assessment procedures and outcomes.

Instructions and checklist for assessors

Instructions

General instructions for the assessment:

- Assessment should be conducted at a scheduled time that has been notified to the candidate
- Facilitators must ensure participants are made aware of the need to complete assessments and attend assessment sessions
- If a participant is unable to attend a scheduled session, they must make arrangements with the Assessor to undertake the assessment at an alternative time
- At the end of the assessment the Assessor must give feedback and advise the participant on their PC/NYC status
- Complete the relevant documentation and submit to the appropriate department.

Preparation

- Gain familiarity with the Unit of Competency, Elements of Competency and the Performance Criteria expected
- Study details assessment documentation and requirements
- Brief candidate regarding all assessment criteria and requirements.

Briefing checklist

- Begin the assessment by implementing the following checklist and then invite the candidate to proceed with assessment.

Checklist for Assessors

	Tick (✓)	Remarks
Prior to the assessment I have:		
Ensured the candidate is informed about the venue and schedule of assessment.		
Received current copies of the performance criteria to be assessed, assessment plan, evidence gathering plan, assessment checklist, appeal form and the company's standard operating procedures (SOP).		
Reviewed the performance criteria and evidence plan to ensure I clearly understood the instructions and the requirements of the assessment process.		
Identified and accommodated any special needs of the candidate.		
Checked the set-up and resources for the assessment.		
During the assessment I have:		
Introduced myself and confirmed identities of candidates.		
Put candidates at ease by being friendly and helpful.		
Explained to candidates the purpose, context and benefits of the assessment.		
Ensured candidates understood the assessment process and all attendant procedures.		
Provided candidates with an overview of performance criteria to be assessed.		
Explained the results reporting procedure.		
Encouraged candidates to seek clarifications if in doubt.		
Asked candidates for feedback on the assessment.		
Explained legal, safety and ethical issues, if applicable.		

	Tick (✓)	Remarks
After the assessment I have:		
Ensured candidate is given constructive feedback.		
Completed and signed the assessment record.		
Thanked candidate for participating in the assessment.		

Instructions for recording competency

Specifications for recording competency

The following specifications apply to the preparation of Evidence Gathering Plans:

- A Competency Recording Sheet must be prepared for each candidate to ensure and demonstrate all Performance Criteria and Competency Elements are appropriately assessed. This Sheet indicates how the Assessor will gather evidence during their assessment of each candidate
- This Competency Recording Sheet is located at the end of the Assessment Plan
- It is the overriding document to record competency
- The Assessor may vary the Competency Recording Sheet to accommodate practical and individual candidate and/or workplace needs
- Assessor must place a tick (✓) in the 'Assessment Method' columns to identify the methods of assessment to be used for each candidate
- Multiple Competency Elements/Performance Criteria may be assessed at the one time, where appropriate
- The assessor and participant should sign and date the Competency Recording Sheet, when all forms of evidence and assessment have been completed
- The assessor may provide and feedback or clarify questions which the participant may have in regards to the assessment grade or findings
- All documents used to capture evidence must be retained, and attached to the Competency Recording Sheet for each candidate for each Competency Unit.

Instructions for different assessment methods

Specifications for work project assessment

These guidelines concern the use of work projects.

The work projects identified in the Training Manuals involve a range of tasks, to be performed at the discretion of the Assessor.

Work project tasks can be completed through any form of assessment as identified in the Trainer and Trainee Manuals and stated at the start of this section.

Assessors should follow these guidelines:

- Review the Work Projects at the end of each 'Element of Competency' in the Trainee Manual to ensure you understand the content and what is expected

- Prepare sufficient resources for the completion of work activities including:
  - Time – whether in scheduled delivery hours or suggested time participants to spend outside of class hours
  - Resources – this may involve technical equipment, computer, internet access, stationery and other supplementary materials and documents
- Prepare assessment location (if done in class) making it conducive to assessment
- Explain Work Projects assessment to candidate, at the start of each Element of Competency. This ensures that participants are aware of what is expected and can collate information as delivery takes place
- Assessors can use the following phrase as a guide (where an 'X' is identified, please input appropriate information):

  "At the end of each Element of Competency there are Work Projects which must be completed. These projects require different tasks that must be completed.

  These work projects are part of the formal assessment for the unit of competency titled X:

  - You are required to complete these activities:
    a) *Using the 'X' method of assessment*
    b) *At 'X' location*
    c) *You will have 'X time period' for this assessment*
  - You are required to compile information in a format that you feel is appropriate to the assessment
  - Do you have any questions about this assessment?"
- Commence Work Project assessment:
  - The assessor may give time for participants to review the questions at this time to ensure they understand the nature of the questions. The assessor may need to clarify questions
  - Participants complete work projects in the most appropriate format
  - Participants must submit Work Project evidence to the assessor before the scheduled due date
- Assessor must assess the participant's evidence against the competency standards specified in each Element of Competency and their own understanding. The assessor can determine if the participant has provided evidence to a 'competent' standard
- Transcribe results/details to Competency Recording Sheet
- Forward/file assessment record.

Specifications for Oral Question Assessment

These guidelines concern the use of oral questioning.

Assessors should follow these guidelines.

- Prepare Assessment Record for Oral Questioning. One record for each candidate:
  - Enter Student name

  - Enter Assessor name
  - Enter Location
- Familiarise self with Questions to be asked
- Prepare assessment location (table and chairs) making it conducive to assessment
- Explain Oral Questioning assessment to candidate, using the following phrase as a guide (where a 'X' is identified, please input appropriate information):

  "These oral questions are part of the formal assessment for the unit of competency titled X.

  There are X questions and you are required to answer all of them to the best of your ability and I will record whether or not you have answered correctly.

  We have 60 minutes for this assessment.

  - I will give you feedback at the end of the assessment
  - Do you have any questions about this assessment?"
- Commence Oral Questioning assessment:
  - Complete Assessment Record for the Oral Questioning by:

    a) Ticking PC or NYC, as appropriate

    b) Entering 'Remarks' as required

    c) Completing Oral Questioning within 60 minutes
- Complete Oral Questioning and provide feedback to candidate
- Transcribe results/details to Competency Recording Sheet
- Forward/file assessment record.

Specifications for Written Question Assessment

These guidelines concern the use of written questioning.

Assessors should follow these guidelines:

- Familiarise self with Questions and Answers provided
- Print and distribute copies of 'Written Questions' for participants. Ideally this should take place with adequate time for participants to answer all questions before the expected due date
- Explain Written Questioning assessment to candidate, using the following phrase as a guide (where a 'X' is identified, please input appropriate information):

  "These written questions are part of the formal assessment for the unit of competency titled X.

  There are X questions and you are required to answer all of them to the best of your ability.

  You may refer to your subject materials, however where possible try to utilise your existing knowledge when answering questions.

  Where you are unsure of questions, please ask the Assessor for further instruction. This may be answering the question orally or asking the assessor to redefine the question.

We have X time for this assessment:

- The due date for completion of this assessment is X
- On this date you must forward the completed questions to the assessor by X time on the date of X
- Do you have any questions about this assessment?"

- The assessor may give time for participants to review the questions at this time to ensure they understand the nature of the questions. The assessor may need to clarify questions
- Participants may record written answers (where possible)
- Participants must submit the written answers to the assessor before the scheduled due date
- Assessor must assess the participant's written answers against the model answers provided as a guide, or their own understanding. The assessor can determine if the participant has answered the questions to a 'competent' standard
- Transcribe results/details to Competency Recording Sheet
- Forward/file assessment record.

Specifications for Observation Checklist

These specifications apply to the use of the Observation Checklist in determining competency for candidates.

Only an approved assessor is authorised to complete the Observation Checklist.

The assessor is required to observe the participant, ideally in a simulated environment or their practical workplace setting and record their performance (or otherwise) of the competencies listed on the Observation Checklist for the Competency Unit.

To complete the Observation Checklist the Assessor must:

- Insert name of candidate
- Insert assessor name
- Insert identify of location where observations are being undertaken
- Insert date/s of observations – may be single date or multiple dates
- Place a tick in either the 'Yes' or 'No' box for each listed Performance Criteria to indicate the candidate has demonstrated/not demonstrated that skill
- Provide written (and verbal) feedback to candidate – as/if appropriate
- Sign and date the form
- Present form to candidate for them to sign and date
- Transcribe results/details to Competency Recording Sheet for candidate
- Forward/file Observation Checklist.

This source of evidence combines with other forms of assessment to assist in determining the 'Pass Competent' or 'Not Yet Competent' decision for the participant.

Specifications for Third Party Statement

These specifications relate to the use of a relevant workplace person to assist in determining competency for candidates.

The Third Party Statement is to be supplied by the assessor to a person in the workplace who supervises and/or works closely with the participant.

This may be their Supervisor, the venue manager, the Department Manager or similar.

The Third Party Statement asks the Supervisor to record what they believe to be the competencies of the participant based on their workplace experience of the participant. This experience may be gained through observation of their workplace performance, feedback from others, inspection of candidate's work etc.

A meeting must take place between the Assessor and the Third Party to explain and demonstrate the use of the Third Party Statement.

To complete the Third Party Verification Statement the Assessor must:

- Insert candidate name
- Insert name and contact details of the Third Party
- Tick the box to indicate the relationship of the Third Party to the candidate
- Present the partially completed form to the Third Party for them to finalise
- Collect the completed form from the Third Party
- Transcribe results/details to Competency Recording Sheet for candidate
- Forward/file Third Party Statement.

The Third Party must:

- Record their belief regarding candidate ability/competency as either:
    - Pass Competent = Yes
    - Not Yet Competent = No
    - Unsure about whether candidate is competent or not = Not Sure
- Meet briefly with the assessor to discuss and/or clarify the form.

This source of evidence combines with other forms of assessment to assist in determining the 'Pass Competent' or 'Not Yet Competent' decision for the candidate.

A separate Third Party Statement is required for each Competency Unit undertaken by the candidate.

Competency Standard

UNIT TITLE: ESTABLISH AND MAINTAIN A SAFE AND SECURE WORKPLACE	**NOMINAL HOURS:** 60
UNIT NUMBER: D1.HSS.CL4.01 D2.TRM.CL9.04	
UNIT DESCRIPTOR: This unit deals with skills and knowledge required to develop and manage health, safety and security requirements in a workplace.	
ELEMENTS AND PERFORMANCE CRITERIA	**UNIT VARIABLE AND ASSESSMENT GUIDE**
Element 1: Identify workplace health, safety and security responsibilities **1.1** Describe the legislated *rights and obligations of employers* **1.2** Describe the legislated *rights and obligations of employees* **1.3** Describe the *health, safety and security policies* of the host employer **Element 2: Develop and maintain framework to maintain workplace health, safety and security** **2.1** *Prepare job descriptions* that incorporate health, safety and security responsibilities **2.2** Establish *working relationship with management* **2.3** Create *health, safety and security reporting structure* **2.4** *Disseminate information* on health, safety and security	**Unit Variables** The Unit Variables provide advice to interpret the scope and context of this unit of competence, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. This unit applies to supervisors in all industry sectors within the labour divisions of the hotel and travel industries and may include: 1. Front Office 2. Housekeeping 3. Food and Beverage Service 4. Food Production 5. Travel Agencies 6. Tour Operation. *Rights and obligations of employers* will relate to: • Key legislative objectives • Applicable health, safety and security legislation of the host country, including subsidiary regulations, codes and other advice and directions from the agencies responsible

2.5 Initiate workplace *health, safety and security training* **2.6** Develop *health, safety and security records and allied documentation* **Element 3: Implement procedures for identifying health, safety and security hazards and risks** **3.1** Conduct physical *workplace inspections* **3.2** Encourage *staff to report workplace hazards* and risks **3.3** Analysis of *internal records* **3.4** Address *risk identification at planning and purchasing stages* **3.5** Monitor *industry sources of workplace hazards and risks* **Element 4: Implement procedures for assessing health, safety and security risks** **4.1** Identify *those to be involved in assessment* **4.2** Schedule risk assessments **4.3** Apply *risk assessment activities* **4.4** *Record deliberations* at risk assessment meetings **4.5** Facilitate *meaningful and effective consultation* **4.6** Adopt *'safe place' rather than 'safe person'* approach	• Standard industry 'best practice' guidelines in relation to health, safety and security • Duty of care that employers have towards employees and others, including members of the public. *Rights and obligations of employees* will relate to: • Applicable health, safety and security legislation of the host country, including subsidiary regulations, codes and other advice and directions from the agencies responsible • Standard industry 'best practice' guidelines in relation to health, safety and security • Duty of care that employees have towards themselves, other employees and members of the public. *Health, safety and security policies* may include: • Safe food handling • Manual handling • Chemical handling, use and storage • Dangerous goods • Working alone • Violence, intimidation and harassment • Safe workplace provisions, including environmental hazards, biological hazards, plant and equipment, substance abuse • Roles and responsibilities of management and employees. *Prepare job descriptions* may include: • Identifying health, safety and security roles for staff • Preparing relevant duty statements. *Working relationship with management* should include: • Cooperation and collaboration

4.7 Prioritise *risks levels*

4.8 Finalise assessment and take action

Element 5: Implement procedures for controlling health, safety and security risks

5.1 *Plan for implementation* of the control

5.2 *Initiate the control*

5.3 *Monitor the control*

5.4 Take *remedial action* where necessary

Element 6: Investigate injuries, illnesses and incidents

6.1 Describe *how to notify injury, illness or incident*

6.2 *Investigate injuries, illnesses or incidents*

6.3 *Identify causes* of injuries, illnesses or incidents

6.4 Implement remedial action

Element 7: Evaluate the organisation's health, safety and security effectiveness

7.1 Review and *assess the effectiveness of the systems* that have been put in place

7.2 Implement improvements, where necessary

7.3 *Assess compliance* with legislated and internal requirements

- Participation by both parties
- Consultation
- Establishing committee structures.

Health, safety and security reporting structure should include:

- Establishing meeting schedules, including dates, times and forums
- Appointment and/or election of office bearers
- Format for recording meetings, issues discussed and decisions made
- Formulating procedures for disseminating information from meetings to staff.

Disseminate information may include:

- Printed information including copies of legislation and establishment policies, posters, checklists, safety advice, etc
- Promoting health, safety and security training
- General staff meetings
- Specific health, safety and security meetings.

Health, safety and security training must include:

- Providing initial induction and orientation training
- Monitoring workplace events, accidents and near misses
- Responding to new procedures and equipment
- Responding to changes in legislation
- Recording the delivery and results of training.

Health, safety and security records and allied documentation may include:

- Inspection checklists
- Internal audits

	• Risk assessment worksheets • Hazard analysis sheets • Report forms and pro formas for all identified report types deemed necessary • Injury register • Minutes from health, safety and security meetings • Training forms • Incident investigation forms • Staff induction records • Legislation, regulations, codes, advice sheets, guidelines • Standard operating procedures for actions that need to be taken/tasks that need to be done • Issue resolution flowchart • Employee health and safety monitoring sheets • Risk controls and risk control plans • Safety management plans • Emergency management plans, such as for evacuation, fire, gas leak, robbery, medical emergency, storm • Medical certificates stating fitness of employee to return to work as a food handler • Records of training completed and certificates obtained • Records of plant maintenance and daily checks undertaken • Consultant reports • Inspection reports provided by external authorities and agencies • Notices issued • Register of hazardous substances

	• Incident notification forms • Records of near-misses/incident reports • Material safety data sheets • Plant and equipment purchasing specifications • Tests on pressure vessels • Records of all monitoring activities undertaken • Records on fire drills • Asbestos assessments • First aid records and relevant medical information. *Workplace inspections* should include: • Integrating workplace inspections into everyday workplace activities • Preparing inspection schedules • Allocating inspection duties • Involving management in the inspections • Using checklists to record findings • Compliance with legislated requirements • Analysis of internal records, such as accident reports, near-misses, injury registers, customer complaints. *Encourage staff to report workplace hazards* may include: • Holding regular workplace meetings • Developing health, safety and security committees and structures • Ensuring staff are not victimised • Making available anonymous reporting options, such as a suggestion box.

	Internal records may include: • Health, safety and security reports • Injury registers • Inspection checklists • Job safety analysis sheets • Complaints files. *Risk identification at planning and purchasing stages* must include: • Consideration of legal requirements that apply to new purchases of plant, equipment, materials, etc • Involving workers in the identification of items to be developed or purchased • Involving suppliers in assisting to optimise safety as part of the purchasing decision • Rejecting unsafe items from consideration regardless of potential initial cost savings. *Industry sources of workplace hazards and risks* may include: • Agencies and authorities • Personal and organisational network of contacts • Registering to receive newsletters and updates • Industry associations and peak bodies • Internet research of domestic and international sources. *Those to be involved in assessment* may include: • Workers • Management • External experts and consultants • Officers from agencies and authorities.

	Risk assessment activities may include: • Liaising with others • Conducting research activities and reading literature • Undertaking tests • Visiting other sites • Consulting with staff and management • Using external consultants • Considering controls available within the hierarchy of controls • Costing different viable control options. *Record deliberations* may include: • Taking of minutes • Distributing minutes at the termination of each meeting • Maintaining minutes on file for later reference. *Meaningful and effective consultation* should include: • Sharing information • Giving employees a chance to express views • Taking views of employees into account when making final decisions • Ensuring consultation is representative of staff affected by the decision • Ensuring staff are free from management influence/pressure. *'Safe place' rather than 'safe person'* refers to: • The preference of employers for creating a safety focus that does not rely on the worker to do the right thing, but on the workplace to have passive and other controls which will guarantee worker safety.

	Risks levels must take into account: • Consequence • Exposure • Probability. *Plan for implementation* may include: • Allocating funds for purchasing or modification of the selected item as per risk analysis • Allocating responsibilities for implementing actions • Establishing required timelines • Arranging and conducting staff training • Conducting familiarisation sessions with staff • Performing test runs/trials. *Initiate the control* may include: • Providing interim solutions to long-term issues • Gradual implementation of a procedure • Bringing an item of equipment on-line slowly • Complying with planning guidelines • Complying with legislated and other internal requirements for operational efficiency and safety. *Monitor the control* may include: • Obtaining feedback from staff, customers and others, as appropriate • Personal observation • Inspections by designated health, safety and security staff • Analysis of records and documentation • Ensuring new health, safety and security issues are not created as a result of resolving the

	previous health, safety and security issues. *Remedial action* may include: • Providing extra training • Shutting down the procedure or item of equipment • Re-analysing the hazard or risk • Re-formulating an alternative and safer option • Consulting with relevant stakeholders to identify the problem and suggest solutions. *How to notify injury, illness or incident* may include: • Internal and external notification • Verbal notification • Written communication • Identifying what needs to be reported/notified. *Investigate injuries, illnesses or incidents* may include: • Site preservation following an injury or incident • Taking of photographs • Interviewing those involved and witnesses • Cooperating with authorities • Updating records. *Identify causes* may relate to: • Analysing workplace records and documents • Analysing witness and other statements • Establishing the context • Examining plant and equipment

	• Using external consultants and experts in the process • Involving the authorities • Basing conclusions on evidence. *Assess the effectiveness of the systems* should include: • Evaluating record and document compliance levels • Measuring current safety, health and security issues against previous levels/issues • Gathering input from staff and management • Considering emerging issues that warrant attention. *Assess compliance* may include: • Considering changes to legislation, codes and other external requirements • Considering internal recording and operational needs. **Assessment Guide** The following skills and knowledge must be assessed as part of this unit: • Knowledge of the enterprise's policies and procedures in regard to health, safety and security • Detailed knowledge of the health, safety and security legislation of the host country • Ability to ensure application of principles of safe manual handling techniques • Ability to access health, safety and security information • Knowledge of the range of typical hazards and risks that are associated with the type of business/sector • Knowledge of possible measures that can be taken to address typical risks and hazards • Knowledge of responsible service of alcohol • Knowledge of food safety requirements.

Linkages To Other Units

- Implement occupational safety and health procedures
- Establish and maintain a safe working environment
- Maintain the safety of premises and personnel
- Provide for the safety of VIPs
- Follow safety and security procedures
- Comply with workplace hygiene procedures
- Manage responsible service of alcohol
- Manage operational risk.

Critical Aspects of Assessment

Evidence of the following is essential:

- Understanding of health, safety and security requirements that apply to the host enterprise as dictated by host country legislation
- Demonstrated ability to interpret and apply house policies as they relate to health, safety and security
- Demonstrated ability to prepare a job description that incorporates relevant health, safety and security functions
- Demonstrated ability to work cooperatively and collaboratively with management to develop and maintain a safe workplace
- Demonstrated ability to identify health, safety and security hazards and risks that exist in a nominated workplace area
- Demonstrated ability to assess a nominated risk in a designated workplace area
- Demonstrated ability to implement effective control procedures to address a nominated risk in a designated workplace area
- Demonstrated ability to evaluate the effectiveness of the host enterprise's health, safety and

	security systems, recommending improvements, where applicable. **Context of Assessment** Assessment must ensure: • Actual or simulated workplace application of health, safety and security protocols. **Resource Implications** Training and assessment must include the use of real plant and equipment together with real or simulated workplace scenarios; and access to workplace standards, procedures, policies, guidelines, tools and equipment. **Assessment Methods** The following methods may be used to assess competency for this unit: • Observation of practical candidate performance • Case studies • Workplace inspections, evaluations and assessments • Portfolio of written work such as job descriptions, policies, recommendations • Role plays • Oral and written questions • Third party reports completed by a supervisor • Project and assignment work. **Key Competencies in this Unit** *Level 1 = competence to undertake tasks effectively* *Level 2 = competence to manage tasks* *Level 3 = competence to use concepts for evaluating*

© ASEAN 2012

	Key Competencies	Level	Examples
	Collecting, organising and analysing information	3	Conduct risk identification; gather information for risk assessments
	Communicating ideas and information	3	Develop policies; inform staff regarding health, safety and security issues
	Planning and organising activities	3	Arrange health, safety and security training; schedule health, safety and security meetings
	Working with others and in teams	3	Liaise and consult with management; participate in workplace risk identification and analysis
	Using mathematical ideas and techniques	2	Calculate figures and data in relation to risk assessments and risk control measures
	Solving problems	3	Decide on suitable risk control methods
	Using technology	1	Research on the internet; use equipment to minimise risk

Oral Questions

Student name	
Assessor name	
Location/venue	
Unit of competency	Establish and maintain a safe and secure workplace D1.HSS.CL4.01 D2.TRM.CL9.04
Instructions	1. Ask student questions from the attached list to confirm knowledge, as necessary 2. Place tick in boxes to reflect student achievement (Pass Competent 'PC' or Not Yet Competent 'NYC') 3. Write short-form student answer in the space provided for each question.

Questions	**Response**	
	PC	**NYC**
1. Tell me about the legislated obligations your employer is under to create and maintain a safe workplace.	☐	☐
2. What legal obligations are employees under in the workplace to maintain a safe workplace?	☐	☐

Questions	Response	
	PC	NYC
3. What policies might an employer heave in relation to workplace security?	☐	☐
4. What health, safety and security responsibilities might be incorporated into Job Descriptions for workplace roles?	☐	☐
5. What are the characteristics of an effective relationship with management in relation to workplace health, safety and security issues?	☐	☐

Questions	**Response**	
	PC	**NYC**
6. Describe what you believe to be an effective reporting structure in the workplace for health, safety and security issues.	☐	☐
7. How might information on health, safety and security be distributed to employees?	☐	☐
8. You have been asked to initiate workplace health, safety and security training: how would you determine the training topics to be covered?	☐	☐

Questions	Response	
	PC	NYC
9. Describe the health, safety and security records and documentation you would expect to find in a workplace and explain why they would be present and what they are used for.	☐	☐
10. What is the purpose of conducting physical inspections of the workplace in relation to health, safety and security?	☐	☐
11. How might you encourage staff to report risks and hazards they have identified in their work area and in the workplace?	☐	☐

Questions	Response	
	PC	NYC
12. What internal documents might you analyse in order to identify internal health, safety and or security risks that exist?	☐	☐
13. Give me two examples of what might be involved in risk identification at the planning and purchasing stages for plant and equipment, and or chemicals/cleaning agents used in your workplace.	☐	☐
14. Identify three possible sources of workplace hazards and risks.	☐	☐

Questions	Response	
	PC	NYC
15. Who should be involved in assessing workplace health, safety and or security issues?	☐	☐
16. Risk assessment in the workplace should be ‘scheduled’: what is meant by this and why is it an important thing to do?	☐	☐
17. Identify three risk assessment activities that can be used to effectively assess identified workplace risk.	☐	☐

Questions	Response	
	PC	NYC
18. Why should deliberations, discussions and decisions at risk assessment meetings be recorded?	☐	☐
19. Why can you do to facilitate meaningful consultation, deliberation and input at risk assessment meetings?	☐	☐
20. Differentiate between the ‘safe place’ and the ‘safe person’ approach to workplace safety: which is the preferred option and why?	☐	☐

Questions	Response	
	PC	NYC
21. What three generic factors must be taken into account when prioritising risk levels?	☐	☐
22. You have finished assessing an identified risk and have prepared a list of suggested controls: what should you do with this list before actual implementation occurs?	☐	☐
23. You have identified and received approval to implement a control for an identified risk: what factors would you consider when planning implementation of the approved control measure?	☐	☐

Questions	Response	
	PC	NYC
24. You are about to implement an approved control for an identified workplace risk: what factors will you take into account as part of this initiation process?	☐	☐
25. Why is it vital to monitor implementation of risk controls in a workplace?	☐	☐
26. Describe three possible generic examples of remedial action that may need to be taken following monitoring of the implementation of controls to address an identified workplace risk.	☐	☐

Questions	Response	
	PC	NYC
27. What options are available in the workplace to record and report injuries and or illnesses?	☐	☐
28. A ‘near miss’ has occurred in your workplace: how might you investigate this occurrence?	☐	☐
29. Describe three activities you might engage in to investigate the cause of a reported workplace incident (such an injury to a worker caused by plant and equipment)	☐	☐

Questions	Response	
	PC	NYC
30. Why is it important and necessary for workplaces to take remedial action on the basis of investigations into workplace injuries, illnesses and or incidents?	☐	☐
31. How might you assess the effectiveness of changes to workplace safety and security that have been implemented to address identified needs?	☐	☐
32. Your assessment of changes made in the workplace to address identified health, safety and or security needs has shown a need for more to be done: what should you do in this situation?	☐	☐

© ASEAN 2012

Questions	Response	
	PC	NYC
33. Why is it important to review current legislated and internal requirements (policies and or procedures) when evaluating the effectiveness of an organisation's approach to workplace health, safety and security?	☐	☐

© ASEAN 2012

Written Questions

Establish and maintain a safe and secure workplace – D1.HSS.CL4.01 D2.TRM.CL9.04

Student Name: ____

Answer all the following questions and submit to your Trainer.

1. What are three employer health and safety responsibilities?

2. What are two employee health and safety responsibilities?

3. What is the difference between a policy and procedure? Provide an example of each.

4. What is a KRA? Provide an example of a KRA.

5. What is the main role of the Health and Safety Committee?

6. Communication and reporting are important aspects of sharing health and safety information. What are two pieces of information the Health and Safety Committee would pass on to management and staff?

7. What is one piece of health and safety information staff would pass on to management?

8. If you were a manager, what are two training programs you would introduce to improve health and safety in the workplace?

9. What is the benefit of having health, safety and security records?

© ASEAN 2012

10. Provide an example of each type of hazard?

A) Hazardous Substances ______________________________________

B) Biological ______________________________________

C) Physical ______________________________________

D) Ergonomic ______________________________________

E) Manual Handling ______________________________________

F) Psychological ______________________________________

11. How can you encourage staff to report workplace hazards and risks?

____

____

____

____

12. What are three internal records you could analyse to research hazards and risks in the workplace?

____

____

____

____

13. When trying to identify and address risk when planning an upcoming event, how can you gather information?

____

____

____

____

14. What are some industry sources you can use to understand workplace hazards and risks?

____

____

____

____

15. Who are two people who are normally involved in assessing risk? Why are they chosen?

16. When arranging a risk assessment meeting what are three things you will need to arrange?

17. What is the difference between a ‘classification of risk’ and a ‘likelihood of risk?

18. A ‘Hazard Identification and Control’ Sheet is very useful in providing information regarding a hazard. What is three pieces of information recorded on this sheet?

19. What are two ground rules you could use in a meeting to ensure meaningful and fair opportunity is given to each participant?

20. Answer 'True' or 'False' to the following statement: It is better to adopt a 'safe person' rather than a 'safe place' approach to health and safety.

True ☐ False ☐

21. What approach would you use then prioritising risks?

22. After a risk assessment meeting has concluded, what are two activities that would take place?

23. Describe each of the following types of controls, providing an example for each.

A) Elimination

B) Substitution

C) Isolation

D) Engineering controls

E) Administrative controls

F) Personal protective clothing and equipment.

24. Why is ‘active management’ important when initiating controls?

25. What are some ways you can monitor the implementation of controls?

26. Answer ‘True’ or ‘False’ to the following statement**:** If possible, it is best to take remedial action when a risk has been identified.

True ☐ False ☐

27. Answer ‘True’ or ‘False’ to the following statement: If you cut yourself at work, it should be recorded, regardless of how small or minor the cut.

True ☐ False ☐

28. What are two methods of investigation you can use when investigating injuries, illnesses or incidents?

29. What are two common types of injuries in the workplace and what are the causes?

30. What are two remedial actions you can take to stop injuries from taking place?

31. What are two reasons why it is important to review health and safety systems?

32. What are two areas in which health and safety can be improved?

33. What is the difference between an ‘Act’ and a “Code of Practice’?

© ASEAN 2012

Answers to Written Questions

Establish and maintain a safe and secure workplace – D1.HSS.CL4.01 D2.TRM.CL9.04

The following are model answers only – Trainers and Assessors must use discretion when determining whether or not an answer provided by a Student is acceptable.

1. What are three employer health and safety responsibilities?

- Providing safety training and clear safety rules
- Encouraging a Health and Safety Committee
- Maintaining an injury register
- Adhering to all workplace agreements
- Providing information and written instructions in all appropriate languages
- Providing all necessary safety equipment
- Maintaining a safe workplace
- Equipment and machinery must be maintained and must conform to safety standards
- Providing well-lit and ventilated places to work
- First aid must be provided.

2. What are two employee health and safety responsibilities?

- Working in a way that ensures personal safety, and the safety of others including colleagues and customers
- Using safety equipment in accordance with the manufacturer's instructions
- Using all safety equipment and in a correct manner
- Following all occupational safety and health regulations in-line with establishment requirements
- Reporting accidents, injuries or illness to the appropriate person
- Reporting any equipment in need of repair
- Adhering to all workers compensation laws and regulations
- Not interfering or getting in the way of a person who is trying to assist another in need.

© ASEAN 2012

3. What is the difference between a policy and procedure? Provide an example of each.

Policy

A policy is a statement or rule about an issue in the workplace and says what the business intends to do about the issue.

Examples of policies include:

- Hours of operation
- Use of safety gloves and glasses
- Use of warning signs when cleaning
- Amount of keys to be given to a guest
- Information about guests to be given to non-guests.

Procedure

A procedure sets out step-by-step instructions on how to deal with an activity in the workplace.

Types of procedures include:

- How to use and store chemicals
- How to clean a room
- How to prepare a meal
- How to store food
- Manual handling
- Safe working techniques
- How to handle Emergency, fire and accidents
- Hazard identification & control.

4. What is a KRA? Provide an example of a KRA.

‘Key Result Areas’ (KRA) are the areas in which supervisors and managers have responsibility.

Examples of KRA’s include, but not limited to:

- Health and safety non-conformance
- Health and safety training
- Health and safety representatives
- Health and safety costing
- Health and safety results

5. What is the main role of the Health and Safety Committee?

It is the role of this group to ensure the organisation is compliant in all aspects of health, safety and security.

6. Communication and reporting are important aspects of sharing health and safety information. What are two pieces of information the Health and Safety Committee would pass on to management and staff?

- New health and safety legislation
- Health and safety training
- Feedback of health and safety KRA/KPI's
- Notification of accidents and investigations
- New health and safety topics.

7. What is one piece of health and safety information staff would pass on to management?

- Reporting health and safety issues
- Giving feedback to specific questions asked by management.

8. If you were a manager, what are two training programs you would introduce to improve health and safety in the workplace?

Answers may be varied.

9. What is the benefit of having health, safety and security records?

- It ensures an accurate record is established
- No points of information are forgotten.

10. Provide an example of each type of hazard?

A) Hazardous Substances
B) Biological
C) Physical
D) Ergonomic
E) Manual Handling
F) Psychological

The answers are in the manual. They are not listed here as there is an extensive list.

11. How can you encourage staff to report workplace hazards and risks?

- Remind staff
- Allocate specific risk daily
- Allocate areas of responsibility
- Remind staff of benefits
- Ask staff
- Thank and reward staff.

12. What are three internal records you could analyse to research hazards and risks in the workplace?

- Customer feedback forms
- Employee medical records
- Health monitoring results
- Risk assessment reports
- Training registers/records
- Hazard reports
- Hazard inspection reports
- Incident Notifications
- Incident investigation reports
- Injury register
- Rehabilitation case notes
- HS Committee minutes
- Plant register
- Employee assistance notes
- Environmental reports
- Material Safety Data Sheets
- Hazardous substances register
- Hazardous substances reports
- Consultants reports
- HS management reports
- Consultation Meeting Record
- Staff handover reports
- Management meeting notes
- Departmental meeting notes
- Emails and memos.

13. When trying to identify and address risk when planning an upcoming event, how can you gather information?

- Job descriptions of staff
- SOP's and other policies and procedures
- Historical information.

14. What are some industry sources you can use to understand workplace hazards and risks?

- Partner hotels or properties with chain
- Competitors
- Local government
- Industry Associations
- Internet
- Industry publications
- Newspapers
- Suppliers
- Manufacturer's instructions and manuals.

15. Who are two people who are normally involved in assessing risk? Why are they chosen?

- General Manager – this person may or not be involved in this process, but it is important to recognise their input as they will normally approve any final decisions to be made (if major) and any related expenses
- Health and Safety Committee – they are responsible for health and safety in the organisation and their expertise in areas of health and safety is critical as they will be the people responsible for implementation
- Department or outlet managers – as any changes will likely affect the operations or activities within their department and their expertise in operational areas is critical as they will be the people responsible for the outlet and the effect on staff and customers
- Key departmental line staff – it is good to involve staff that will be directly impacted by the hazard for their input and to also let them know what is to take place
- Any other persons who conducted the workplace inspection – they had first-hand knowledge of the hazards identified and will be able to provide further information or explanation
- External experts and consultants – in areas requiring specific expertise their input will be welcomed. They will also have solutions to controlling hazards and their risk.

16. When arranging a risk assessment meeting what are three things you will need to arrange?

- Identify date, time and location
- Book meeting facility
- Prepare information & agenda
- Notify people
- Arrange venue layout
- Arrange Equipment
- Arrange catering.

17. What is the difference between a 'classification of risk' and a 'likelihood of risk?

Classification of risk indicates the type of potential injury or illness.

Likelihood of risk indicates whether it is likely that someone could be hurt by being exposed to those hazards.

18. A 'Hazard Identification and Control' Sheet is very useful in providing information regarding a hazard. What is three pieces of information recorded in this sheet?

- Type of Hazard
- Impact of risk
- Classification of risk
- Likelihood of risk
- General Comment
- Current control of risk
- Suggested control of risk
- Date for control implementation
- Person responsible for implementation.

19. What are two ground rules you could use in a meeting to ensure meaningful and fair opportunity is given to each participant?

- Allow people to participate
- Focus on the topic
- Maintain momentum
- Try to reach closure.

20. Answer 'True' or 'False' to the following statement: It is better to adopt a 'safe person' rather than a 'safe place' approach to health and safety.

The answer is false.

21. What approach would you use then prioritising risks?

The answers may be varied. There is no set answer.

22. After a risk assessment meeting has concluded, what are two activities that would take place?

Once the meeting has concluded, the following activities are to take place:

- Minutes of the meeting are to be prepared and forwarded
- Any documentation prepared in the risk assessment meeting copied, distributed or stored
- Any communication relevant to staff forwarded in a prompt and clear manner
- Persons responsible for implementing procedures to control risks undertaking their duties.

23. Describe each of the following types of controls, providing an example for each.

- Elimination
- Substitution
- Isolation
- Engineering controls
- Administrative controls
- Personal protective clothing and equipment.

The answers are too detailed for this answer page. Please refer to the manual for suitable answers.

24. Why is 'active management' important when initiating controls?

Any changes that take place in any organisation often cause some added stress, work and inconvenience for all involved.

Persons responsible for initiating change must take an active role in ensuring it is implemented with minimal stresses and with sufficient support, guidance and encouragement to those initiating the changes.

By undertaking active management any required changes can be implemented in a timely manner.

25. What are some ways you can monitor the implementation of controls?

- Conduct a workplace check
- Talk with staff and customers
- Look at records / results
- Observations.

26. Answer 'True' or 'False' to the following statement: If possible, it is best to take remedial action when a risk has been identified.

The answer is true.

27. Answer 'True' or 'False' to the following statement: If you cut yourself at work, it should be recorded, regardless of how small or minor the cut.

The answer is true.

28. What are two methods of investigation you can use when investigating injuries, illnesses or incidents?

Methods of investigation include:

- Interviewing witnesses
- Interviewing medical personnel
- Inspecting the location and equipment
- Reviewing reports and documents
- Reviewing policies and procedures
- Reviewing job descriptions
- Reviewing training.

29. What are two common types of injuries in the workplace and what are the causes?

The answers may be varied. Assessor discretion is advised when determining competency in providing a suitable answer.

Some examples are in the training manual in Section 6.3.

30. What are two remedial actions you can take to stop injuries from taking place?

- Prepare new policies and procedures where required
- Purchase equipment or supplies associated with operational changes
- Communicate any changes and any related processes with staff
- Provide appropriate training to help reduce the chance of accidents happening again
- Actively manage any new changes and implement any revisions where required
- Review and compare the effect of new changes against past levels of injuries, illness or incidents.

31. What are two reasons why it is important to review health and safety systems?

There are many reasons why systems should be reviewed including:

- Scheduled reviews
- Change in management or key health and safety staff
- Company direction has changed
- New products and services have been introduced
- Injuries, illness or incidents have taken place
- Policies and procedures may be outdated
- New equipment and technology has been introduces
- New health and safety legislation and regulation have been introduced
- Feedback from staff and customers
- Actions by competitors requiring an organisation to compete or create a new competitive advantage.

32. What are two areas in which health and safety can be improved?

- Health and safety committees, representatives and departmental safety groups
- Hazard identification
- Policies and procedures
- Job descriptions
- Communication channels
- Documentation and reporting systems
- Training
- Equipment and resources
- Management support.

33. What is the difference between an ‘Act’ and a “Code of Practice’?

Act **-** imposes obligations on people at workplaces to ensure workplace health and safety.

Codes of practices – are designed to give practical advice about ways to manage exposure to risks common to industry.

Observation Checklist

Student name	
Assessor name	
Location/venue	
Unit of competency	Establish and maintain a safe and secure workplace D1.HSS.CL4.01 D2.TRM.CL9.04
Dates of observation	
Instructions	1. Over a period of time observe the student completing each of the following tasks: a. Identify workplace health, safety and security responsibilities b. Develop and maintain framework to maintain workplace health, safety and security c. Implement procedures for identifying health, safety and security hazards and risks d. Implement procedures for assessing health, safety and security risks e. Implement procedures for controlling health, safety and security risks f. Investigate injuries, illnesses and incidents g. Evaluate the organisation's health, safety and security effectiveness 2. Enter the date on which the tasks were undertaken 3. Place a tick in the box to show they completed each aspect of the task to the standard expected in the enterprise 4. Complete the feedback sections of the form, if required.

Did the candidate	**Yes**	**No**
Element 1: Identify workplace health, safety and security responsibilities		
Describe the legislated rights and obligations of employers	☐	☐
Describe the legislated rights and obligations of employees	☐	☐
Describe the health, safety and security policies of the host employer	☐	☐

Did the candidate	**Yes**	**No**
Element 2: Develop and maintain framework to maintain workplace health, safety and security		
Prepare job descriptions that incorporate health, safety and security responsibilities	☐	☐
Establish working relationship with management	☐	☐
Create health, safety and security reporting structure	☐	☐
Disseminate information on health, safety and security	☐	☐
Initiate workplace health, safety and security training	☐	☐
Develop health, safety and security records and allied documentation	☐	☐
Element 3: Implement procedures for identifying health, safety and security hazards and risks		
Conduct physical workplace inspections	☐	☐
Encourage staff to report workplace hazards and risks	☐	☐
Analysis of internal records	☐	☐
Address risk identification at planning and purchasing stages	☐	☐
Monitor industry sources of workplace hazards and risks	☐	☐
Element 4: Implement procedures for assessing health, safety and security risks		
Identify those to be involved in assessment	☐	☐
Schedule risk assessments	☐	☐
Apply risk assessment activities	☐	☐
Record deliberations at risk assessment meetings	☐	☐
Facilitate meaningful and effective consultation	☐	☐
Adopt ‘safe place’ rather than ‘safe person’ approach	☐	☐

Did the candidate	**Yes**	**No**
Prioritise risks levels	☐	☐
Finalise assessment and take action	☐	☐
Element 5: Implement procedures for controlling health, safety and security risks		
Plan for implementation of the control	☐	☐
Initiate the control	☐	☐
Monitor the control	☐	☐
Take remedial action where necessary	☐	☐
Element 6: Investigate injuries, illnesses and incidents		
Describe how to notify injury, illness or incident	☐	☐
Investigate injuries, illnesses or incidents	☐	☐
Identify causes of injuries, illnesses or incidents	☐	☐
Implement remedial action	☐	☐
Element 7: Evaluate the organisation's health, safety and security effectiveness		
Review and assess the effectiveness of the systems that have been put in place	☐	☐
Implement improvements, where necessary	☐	☐
Assess compliance with legislated and internal requirements	☐	☐
Did the student's overall performance meet the standard?	☐	☐

Feedback to student and trainer assessor
Strengths:
Improvements needed:
General comments:

Candidate signature		**Date**	
Assessor signature		**Date**	

© ASEAN 2012

Third Party Statement

Student name:			
Name of third party:		**Contact no**	
Relationship to student:	☐ Employer ☐ Supervisor ☐ Colleague ☐ Other *Please specify:*____ *Please do not complete the form if you are a relative, close friend or have a conflict of interest]*		
Unit of competency:	Establish and maintain a safe and secure workplace D1.HSS.CL4.01 D2.TRM.CL9.04		

The student is being assessed against industry competency standards and we are seeking your support in the judgement of their competence.

Please answer these questions as a record of their performance while working with you. Thank you for your time.

Do you believe the trainee has demonstrated the following skills? *(tick the correct response]*	**Yes**	**No**	**Not sure**
Identifies legislated rights and obligations of workplace employers and employees	☐	☐	☐
Identifies workplace health, safety and security policies	☐	☐	☐
Prepares job descriptions that incorporate health, safety and security responsibilities	☐	☐	☐
Establishes working relationship with management including effective health, safety and security reporting structure	☐	☐	☐
Develops and disseminates information and documentation on health, safety and security	☐	☐	☐
Initiates workplace health, safety and security training	☐	☐	☐
Conducts physical workplace inspections and encourages staff to report workplace hazards and risks	☐	☐	☐
Analyses internal health, safety and security records	☐	☐	☐
Addresses risk identification at planning and purchasing stages	☐	☐	☐
Monitors industry sources of workplace hazards and risks	☐	☐	☐
Identifies, assesses, prioritises and develops controls for workplace risks	☐	☐	☐
Adopts ‘safe place’ rather than ‘safe person’ approach	☐	☐	☐
Controls and monitors identified workplace risk	☐	☐	☐
Investigates and addresses workplace injuries, illnesses and incidents	☐	☐	☐
Reviews and maintains workplace health, safety and security effectiveness	☐	☐	☐

Comments and feedback from Third Party to Trainer Assessor:	
Third party signature:	**Date:**
Send to:	

Competency Recording Sheet

Name of Student		
Name of Assessor/s		
Unit of Competency	Establish and maintain a safe and secure workplace	D1.HSS.CL4.01 D2.TRM.CL9.04
Date assessment commenced		
Date assessment finalised		
Assessment decision	Pass Competent / Not Yet Competent (Circle one)	
Follow up action required (Insert additional work and assessment required to achieve competency)		
Comments/observations by assessor/s		

Place a tick (✓) in the column to reflect evidence obtained to determine Competency of the student for each Performance Criteria.

Element & Performance Criteria	**Observation of skills**	**3rd Party Statement**	**Oral Questions**	**Written Questions**	**Work Projects**	**Other**
Element 1: Identify workplace health, safety and security responsibilities						
Describe the legislated rights and obligations of employers						
Describe the legislated rights and obligations of employees						
Describe the health, safety and security policies of the host employer						
Element 2: Develop and maintain framework to maintain workplace health, safety and security						
Prepare job descriptions that incorporate health, safety and security responsibilities						
Establish working relationship with management						
Create health, safety and security reporting structure						
Disseminate information on health, safety and security						
Initiate workplace health, safety and security training						
Develop health, safety and security records and allied documentation						

Element & Performance Criteria	Observation of skills	3rd Party Statement	Oral Questions	Written Questions	Work Projects	Other
Element 3: Implement procedures for identifying health, safety and security hazards and risks						
Conduct physical workplace inspections						
Encourage staff to report workplace hazards and risks						
Analysis of internal records						
Address risk identification at planning and purchasing stages						
Monitor industry sources of workplace hazards and risks						
Element 4: Implement procedures for assessing health, safety and security risks						
Identify those to be involved in assessment						
Schedule risk assessments						
Apply risk assessment activities						
Record deliberations at risk assessment meetings						
Facilitate meaningful and effective consultation						
Adopt ‘safe place’ rather than ‘safe person’ approach						
Prioritise risks levels						
Finalise assessment and take action						

Element & Performance Criteria	Observation of skills	3rd Party Statement	Oral Questions	Written Questions	Work Projects	Other
Element 5: Implement procedures for controlling health, safety and security risks						
Plan for implementation of the control						
Initiate the control						
Monitor the control						
Take remedial action where necessary						
Element 6: Investigate injuries, illnesses and incidents						
Describe how to notify injury, illness or incident						
Investigate injuries, illnesses or incidents						
Identify causes of injuries, illnesses or incidents						
Implement remedial action						

Element & Performance Criteria	Observation of skills	3rd Party Statement	Oral Questions	Written Questions	Work Projects	Other
Element 7: Evaluate the organisation's health, safety and security effectiveness						
Review and assess the effectiveness of the systems that have been put in place						
Implement improvements, where necessary						
Assess compliance with legislated and internal requirements						
Candidate signature			**Date**			
Assessor signature			**Date**			

William Angliss Institute

Specialist centre
for foods, tourism
& hospitality

asean

Australian Aid