



Implement occupational safety and health procedures

D1.HRS.CL1.07

D1.HOT.CL1.03

D2.TCC.CL1.03

Assessor Manual



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Assessor Manual



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for foods, tourism
& hospitality

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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: IMPLEMENT OCCUPATIONAL HEALTH AND SAFETY PROCEDURES	NOMINAL HOURS: 35
UNIT NUMBER: D1.HRS.CL1.07 D1.HOT.CL1.03 D2.TCC.CL1.03	
UNIT DESCRIPTOR: This unit deals with the skills and knowledge required to implement occupational health and safety procedures in a range of settings within the in the hotel and travel industries workplace context	
ELEMENTS AND PERFORMANCE CRITERIA	UNIT VARIABLE AND ASSESSMENT GUIDE
<p>Element 1: Provide information on health and safety procedures</p> <p>1.1 Explain <i>relevant health and safety information</i>, including enterprise specific details, accurately and clearly to staff</p> <p>1.2 Make health and safety information accessible to staff</p> <p>Element 2: Implement and monitor procedures for controlling hazards and risks</p> <p>2.1 Identify and report workplace <i>hazards and risks</i> promptly by maintaining close contact with day to day workplace operations</p> <p>2.2 Implement and monitor risk <i>control procedures</i> in accordance with enterprise and legal requirements</p> <p>2.3 Evaluate and adjust risk control procedures_as required</p> <p>Element 3: Implement and monitor health and safety training</p> <p>3.1 Identify health and safety training needs through regular workplace monitoring</p>	<p>Unit Variables</p> <p>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.</p> <p>This unit applies to implementing Occupational Safety and Health procedures in a range of settings within the labour divisions of the hotel and travel industries and may include:</p> <ol style="list-style-type: none"> 1. Front Office 2. Housekeeping 3. Food and Beverage Service 4. Food Production 5. Travel Agencies 6. Tour Operation

3.2 Arrange *training interventions* as appropriate on a timely basis

Element 4: Maintain health and safety records

4.1 Complete *records* accurately in accordance with enterprise and legal requirements

4.2 Aggregate information and data from work area records are used to identify hazards and monitor risk control procedures in work area

Relevant health and safety information may include:

- Roles and responsibilities of personnel
- Legal obligations
- Participative arrangements for health and safety
- Location of relevant health and safety information, procedures and policies
- Specific risks and necessary control measures
- Codes of practice.

Hazards and risks may include:

- Fire and emergency
- Crowd related risks
- Bomb scares
- Theft and armed robbery
- Equipment failure
- Pests
- Equipment related hazards
- Manual handling
- Slips, trips and falls
- Drugs and alcohol in the workplace
- Violence in the workplace
- Hazardous substances.

Control procedures may include:

- Eliminate
- Substitute

- Engineering controls
- Administrative controls
- Personal protective clothing and equipment.

Training interventions may include:

- Workshops
- Information sessions
- Fact sheets and other literature
- Mentoring
- Lectures
- Practical demonstrations
- Health and safety team meetings.

Records may include:

- Health and safety injury register
- Number of near-misses
- Health and safety improvement ideas submitted by team members
- Medical records
- Health and safety training records
- Team member hazards reports.

Assessment Guide

The following skills and knowledge must be assessed as part of this unit:

- The enterprise's policies and procedures in regard to implementing health and safety
- Understanding of the basic principles of health and safety, including risk identification, assessment and control
- Demonstrated ability to monitor health and safety within the context of an established system where policies, procedures and programs

	<p>to control health and safety already exist.</p> <p>Linkages To Other Units</p> <p>This is a core unit that underpins effective performance in all other units. Combined training and assessment may be appropriate.</p> <p>Critical Aspects of Assessment</p> <p>Evidence of the following is essential:</p> <ul style="list-style-type: none">• The ability to identify potential Occupational Safety and Health problems and take appropriate corrective action• Demonstrated understanding of legal requirements and the principles Occupational Safety and Health• Demonstrated ability to maintain a safe working environment using appropriate risk control procedures. <p>Resource Implications</p> <p>Training and assessment to include access to a real or simulated workplace; access to workplace standards, procedures, policies, guidelines, tools and equipment.</p> <p>Context of Assessment</p> <p>This unit may be assessed on or off the job:</p> <ul style="list-style-type: none">• Assessment should include practical demonstration of Occupational Safety and Health procedures either in the workplace or through a simulation activity, supported by a range of methods to assess underpinning knowledge• Assessment must relate to the individual's work area or area of responsibility
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- Assessment should include practical demonstration of the ability to implement Occupational Safety and Health procedures either in the workplace or through a simulation activity, supported by a range of methods to assess underpinning knowledge
Assessment must include project or work activities that allow the candidate to respond to multiple and varying Occupational Safety and Health situations that require the application of health and safety policies, procedures and laws.

Assessment Methods

The following methods may be used to assess competency for this unit:

- Case studies
- Observation of practical candidate performance
- Oral and written questions
- Portfolio evidence
- Problem solving
- Role plays
- 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

	Key Competencies	Level	Examples
	Collecting, organizing and analysing information	2	Implement procedures correctly
	Communicating ideas and information	2	Communicate health and safety messages and procedures to team members
	Planning and organizing activities	2	Prioritize actions
	Working with others and in teams	2	Identify and implement opportunities for health and safety improvements
	Using mathematical ideas and techniques	-	
	Solving problems	2	Use relevant enterprise procedures to resolve health and safety problems
	Using technology	-	

Oral Questions

Student name	
Assessor name	
Location/venue	
Unit of competency	Implement occupational safety and health procedures D1.HRS.CL1.07 D1.HOT.CL1.03 D2.TCC.CL1.03
Instructions	<ol style="list-style-type: none"> 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 how you communicate and explain necessary OSH information to staff in your workplace.	<input type="checkbox"/>	<input type="checkbox"/>
2. How do you make current and relevant OSH information available to staff in your workplace?	<input type="checkbox"/>	<input type="checkbox"/>

Questions	Response	
	PC	NYC
3. Give me an example of a time when you identified and reported a workplace risk/hazard: how did you become aware of the problem, and how did you report it?	<input type="checkbox"/>	<input type="checkbox"/>
4. Tell me of a risk control measure being used in your workplace: what is it intended to control, and how do you monitor its effectiveness?	<input type="checkbox"/>	<input type="checkbox"/>
5. Give me an example of a workplace situation where you have evaluated a workplace risk control procedure and have found it necessary to make adjustments to it.	<input type="checkbox"/>	<input type="checkbox"/>

Questions	Response	
	PC	NYC
6. Tell me how you identify OSH training requirements for staff in your workplace.	<input type="checkbox"/>	<input type="checkbox"/>
7. Tell me about a training intervention you have provided for staff at your workplace to address identified OSH training need: what was provided? How did you arrange/organise it?	<input type="checkbox"/>	<input type="checkbox"/>
8. What OSH records are you required to complete in your workplace, and when/on what occasions are they required to be completed?	<input type="checkbox"/>	<input type="checkbox"/>

Questions	Response	
	PC	NYC
9. Tell me how you use OSH records maintained in your workplace: what do you use them for?	<input type="checkbox"/>	<input type="checkbox"/>

Written Questions

Implement occupational safety and health procedures

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Student Name: _____

Answer all the following questions and submit to your Trainer.

1. Identify four employer responsibilities applicable across all business types.

2. Identify four employee responsibilities applicable across all business types.

3. What is the name given to the common law obligation on businesses to take action to prevent foreseeable harm coming to staff, customers and members of the public as a result of the operation of the business?

4. Answer 'Yes' or 'No' to the following question: 'Should workplace OSH involve 'participative arrangements' whereby workers are involved in identifying and addressing workplace risks/hazards'?

5. List three ways supervisors/managers with OSH responsibilities can discharge their duty to make sure staff are aware of relevant OSH information.

6. Identify five generic examples of OSH information that should be communicated to staff.

7. List three ways employers may make workplace OSH information available to staff.

8. Identify six possible generic risks that could occur in a workplace.

9. What are the three steps in the risk/hazard management process?

10. Should businesses strive to create 'safe place' or 'safe person'?

11. What is identified in the notes as 'usually the best option' for reporting an identified workplace hazard?

12. What must happen if workers are involved in work where an immediate threat to safety is identified?

13. List the six control classifications available under 'The Hierarchy of Controls' from most effective to least effective (1 – 6).

14. Why are the lower levels of control available under 'The Hierarchy of Control' regarded as ineffective and inappropriate for implementation on their own in a workplace situation?

15. Answer 'True' or 'False' to the following statement: 'Using personal protective equipment and clothing is the best and most effective way of addressing identified workplace risk/hazards'.

16. In relation to evaluating risk control procedures in the workplace list three topics to be addressed when planning the evaluation process.

17. What are the two questions that should be asked to help determine the effectiveness of a control measure?

18. What two actions should follow from a situation where risk controls have been found not to be working effectively?

19. What are the five steps in the process of evaluating health and safety performance in the workplace?

20. Give three examples of 'quantitative' measures that could be established when seeking to evaluate the performance of the workplace in relation to OSH.

21. Give three examples of 'qualitative' measures that could be established when seeking to evaluate the performance of the workplace in relation to OSH?

22. What is meant by the 'OSH training gap'?

23. What are the three elements of 'competencies'?

24. Identify three ways a workplace can identify the training gap for employees.

25. What must occur once an OSH training need for a worker has been identified?

26. Answer 'Yes' or 'No' to the following question: 'Should managers and supervisors receive OSH training'?

27. Give four examples of training interventions that can be used to provide OSH training in the workplace.

28. Give three reasons why it is important for businesses to keep OSH records.

29. List five requirements applying to the completion of OSH records in the workplace.

30. Identify five details that must be included when completing a record of a workplace injury in the 'Injury Register'.

31. Identify four examples of OSH records and documentation that may need to be maintained in the workplace.

32. List three possible uses that can be made of OSH information collected in a workplace.

Answers to Written Questions

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

1. Identify four employer responsibilities applicable across all business types.

Any from the following:

- Providing safety training and clear safety rules
- Encouraging a Health and Safety Committee or similar body
- Maintaining an injury register
- Adhering to all workplace agreements and contracts
- Providing information and written instructions in appropriate languages other than English where significant workers are from a non-English speaking background
- Providing all necessary safety equipment to allow staff to perform required work safely
- Maintaining a safe workplace for their employees and monitoring health and safety issues
- Providing well-lit and ventilated places to work
- First aid must be provided to all employees when and where necessary.

2. Identify four employee responsibilities applicable across all business types.

Any from the following:

- Work in a way to ensure personal safety and the safety of others
- Use safety equipment in accordance with the manufacturer's instructions and the directions and training of the employee
- Use all safety equipment when and where required according to workplace instructions and training
- Follow all Occupational Safety and Health procedures, practices and protocols in line with establishment requirements and the training received in relation to these
- Report accidents, injuries or illness to the appropriate person
- Report any equipment in need of repair
- Adhere to all legally imposed OSH requirements
- Not interfere or get in the way of a person (such as a first aid provider) who is trying to assist another in need.

- 3. What is the name given to the common law obligation on businesses to take action to prevent foreseeable harm coming to staff, customers and members of the public as a result of the operation of the business?**

Duty of Care.

- 4. Answer 'Yes' or 'No' to the following question: 'Should workplace OSH involve 'participative arrangements' whereby workers are involved in identifying and addressing workplace risks/hazards'?**

Yes.

- 5. List three ways supervisors/managers with OSH responsibilities can discharge their duty to make sure staff are aware of relevant OSH information.**

- Verbal advice or notification
- Provision of printed material to support the verbal advice
- Practical instruction and demonstration of safe working procedures for tasks new staff are expected to perform when they commence employment as part of their allocated workplace duties.

- 6. Identify five generic examples of OSH information that should be communicated to staff.**

Any from the following:

- Details of the organisation's OSH policy
- All OSH policies and procedures relating to the job position of the new staff member
- Details of the hazard identification procedures applied by the workplace including relevant documentation, existing examples of completed hazard identifications and identification of past instances where and how workplace hazards have been identified and addressed
- Identification for individual staff regarding their liability should they fail to comply with required OSH procedures
- Explanation of the OSH consultative/participative arrangements within the business
- Notification regarding the application of risk assessment documents the property uses
- Details of specific existing risk control measures introduced into the workplace
- Presentation and explanation of all relevant Codes applicable to the work the individual staff member is required to perform
- Explanation of the OSH training available within the workplace
- Provision of OSH updates
- Location of the first aid kits within the property
- Location of fire fighting equipment including alarms, hoses, extinguishers, and fire blankets
- Explanation of the 'Emergency Management Plans' (EMPs) for the venue.

7. List three ways employers may make workplace OSH information available to staff.

Any from the following:

- Placed on the workplace intranet
- Located in all staff rooms
- Inclusion in to staff room handbooks or manuals
- Embedded within all workplace training notes and materials
- Included in staff handbooks
- Inserted into the workplace 'Policies and procedures' manual
- Included into the Induction and Orientation procedures for the business
- In a workplace OSH/other 'library'.

8. Identify six possible generic risks that could occur in a workplace.

Any from the following:

- Fire and other emergencies such as gas leaks
- Crowd related risks
- Bomb threats
- Theft and armed robbery
- Equipment failure and related hazards
- Pests
- Manual handling
- Slips, trips and falls
- Drugs and alcohol in the workplace
- Violence in the workplace
- Hazardous substances.

9. What are the three steps in the risk/hazard management process?

- Identifying hazards in the workplace
- Assessing the risks to health and safety which those hazards pose
- Implementing suitable measures to control the risks.

10. Should businesses strive to create 'safe place' or 'safe person'?

Safe place.

11. What is identified in the notes as 'usually the best option' for reporting an identified workplace hazard?

Verbal report.

12. What must happen if workers are involved in work where an immediate threat to safety is identified?

Work must immediately stop until appropriate control measures are implemented.

13. List the six control classifications available under 'The Hierarchy of Controls' from most effective to least effective (1 – 6)?

Must be in the following order:

1. Elimination
2. Substitution
3. Isolation
4. Engineering controls
5. Administrative controls
6. Personal protective clothing and equipment.

14. Why are the lower levels of control available under 'The Hierarchy of Control' regarded as ineffective and inappropriate for implementation *on their own* in a workplace situation?

Because they rely on 'safe person', that is, on people acting correctly.

15. Answer 'True' or 'False' to the following statement: 'Using personal protective equipment and clothing is the best and most effective way of addressing identified workplace risk/hazards'.

False.

16. In relation to evaluating risk control procedures in the workplace list three topics to be addressed when planning the evaluation process.

- Who will do the checks
- When they will be done
- What will be evaluated or assessed as part of the checking process.

17. What are the two questions that should be asked to help determine the effectiveness of a control measure?

- To what extent has the control effectively addressed the identified hazard?
- Has a new hazard been created by virtue of the introduction of the control?

18. What two actions should follow from a situation where risk controls have been found not to be working effectively?

- Immediately resolve the situation
- Report to the appropriate person for their follow-up and action.

19. What are the five steps in the process of evaluating health and safety performance in the workplace?

- Step 1 – Know what the OSH objectives are for the business
- Step 2 – Develop OSH performance measures
- Step 3 – Collect information on your measures of effectiveness
- Step 4 – Analyse the results and decide upon improvements
- Step 5 – Implement changes and start again.

20. Give three examples of ‘quantitative’ measures that could be established when seeking to evaluate the performance of the workplace in relation to OSH?

Any from the following:

- The number of incidents
- The number of employees trained
- The number of work procedures developed or reviewed
- The number of hazards identified and eliminated.

21. Give three examples of ‘qualitative’ measures that could be established when seeking to evaluate the performance of the workplace in relation to OSH?

Any from the following:

- The types of issues being raised by employees and HSRs
- Employee level of awareness of workplace health and safety policy
- How OSH performance is being taken into account in relation to the performance assessment of supervisors and managers
- Evidence management is leading by example.

22. What is meant by the ‘OSH training gap’?

The difference between the OSH competencies staff need in order to perform their job safely, and the OSH competencies they actually possess.

23. What are the three elements of ‘competencies’?

- The necessary knowledge
- The necessary skills
- The ‘right’ attitude.

24. Identify three ways a workplace can identify the training gap for employees.

Any from the following:

- Undertaking an OSH Training Needs Analysis (TNA)
- Observing staff performance
- Speaking to staff
- Looking at their personnel file/records to determine their existing skill/competency levels
- Employing the services of an outside consultant with specialist OSH knowledge and expertise.

25. What must occur once an OSH training need for a worker has been identified?

Action must be taken to address that need.

26. Answer 'Yes' or 'No' to the following question: 'Should managers and supervisors receive OSH training'?

Yes.

27. Give four examples of training interventions that can be used to provide OSH training in the workplace.

Any from the following:

- Workshops
- Information sessions
- Workplace mentoring and coaching
- Lectures
- Practical demonstrations
- Health and safety meetings.

28. Give three reasons why it is important for businesses to keep OSH records?

Any from the following:

- Meet legally imposed compliance requirements
- Help track and monitor workplace health and safety
- Use as reference sources
- Demonstrate evidence of responsible management of workplace OSH matters.

29. List five requirements applying to the completion of OSH records in the workplace?

Any from the following:

- Accuracy
- Currency
- Legibility
- Ease of access
- Completion of a specified form/report
- Completion of records, reports or forms within a set time
- Need to make nominated documents available to OSH Inspectors on request
- Filing of nominated documents for a set period.

30. Identify five details that must be included when completing a record of a workplace injury in the 'Injury Register'.

Any from the following:

- Worker's name and job details
- Time and date of injury
- Exact location where injury or illness occurred
- How it happened
- The nature of the injury or illness and the body parts affected
- Names of any witnesses
- Name of person entering details in the register
- Date employer was notified.

31. Identify four examples of OSH records and documentation that may need to be maintained in the workplace.

Any from the following:

- Information provided to employees as necessary to enable them to perform their work in a safe manner without risks to health
- Records relating to the health and safety of the employees
- Injury register
- Hazardous Substances/Dangerous Goods/Chemicals register
- Training action plans
- Training records
- Incident notification
- Consultation records
- Checklists completed when undertaking workplace OSH inspections
- Hazard identification and risk assessment reports and records
- Team member hazard reports
- Results of investigations in workplace OSH events (including 'near misses')
- Reports provided by Inspectors from the local OSH authority/agency
- Documentation relating to the insurance of workers to cover them for workplace accidents, injury or illness
- Agreed Issue Resolution procedures
- Monitoring reports
- Return to Work documentation
- Records from suppliers stating the products they supply are safe and compliant with all legislated requirements.

32. List three possible uses that can be made of OSH information collected in a workplace.

Any from the following:

- Identifying need for OSH training
- Identifying workplace hazards
- Monitoring and evaluating the effectiveness of workplace OSH policies, practices and protocols
- Providing a basis/source of data for considerations relating to risk assessment analysis and/or risk control development
- Providing evidence regarding the implementation of OSH initiatives.

Observation Checklist

Student name	
Assessor name	
Location/venue	
Unit of competency	Implement occupational safety and health procedures D1.HRS.CL1.07 D1.HOT.CL1.03 D2.TCC.CL1.03
Dates of observation	
Instructions	<ol style="list-style-type: none"> 1. Over a period of time observe the student completing each of the following tasks: <ol style="list-style-type: none"> a. Provide information on health and safety procedures b. Implement & monitor procedures for controlling hazards & risks c. Implement and monitor health and safety training d. Maintain health and safety records 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: Provide information on health and safety procedures		
Explain relevant health and safety information, including enterprise specific details, accurately and clearly to staff	<input type="checkbox"/>	<input type="checkbox"/>
Make health and safety information accessible to staff	<input type="checkbox"/>	<input type="checkbox"/>
Element 2: Implement and monitor procedures for controlling hazards and risks		
Identify and report workplace hazards and risks promptly by maintaining close contact with day to day workplace operations	<input type="checkbox"/>	<input type="checkbox"/>
Implement and monitor risk control procedures in accordance with enterprise and legal requirements	<input type="checkbox"/>	<input type="checkbox"/>
Evaluate and adjust risk control procedures as required	<input type="checkbox"/>	<input type="checkbox"/>

Did the candidate.....	Yes	No
Element 3: Implement and monitor health and safety training		
Identify health and safety training needs through regular workplace monitoring	<input type="checkbox"/>	<input type="checkbox"/>
Arrange training interventions as appropriate on a timely basis	<input type="checkbox"/>	<input type="checkbox"/>
Element 4: Maintain health and safety records		
Complete records accurately in accordance with enterprise and legal requirements	<input type="checkbox"/>	<input type="checkbox"/>
Aggregate information and data from work area records are used to identify hazards and monitor risk control procedures in work area	<input type="checkbox"/>	<input type="checkbox"/>
Did the student's overall performance meet the standard?	<input type="checkbox"/>	<input type="checkbox"/>

Feedback to student and trainer/assessor			
Strengths:			
Improvements needed:			
General comments:			
Candidate signature		Date	
Assessor signature		Date	

Third Party Statement

Student name:			
Name of third party:		Contact no	
Relationship to student:	<input type="checkbox"/> Employer <input type="checkbox"/> Supervisor <input type="checkbox"/> Colleague <input type="checkbox"/> Other <i>Please specify: _____</i> <i>Please do not complete the form if you are a relative, close friend or have a conflict of interest]</i>		
Unit of competency:	Implement occupational safety and health procedures D1.HRS.CL1.07 D1.HOT.CL1.03 D2.TCC.CL1.03		
<p>The student is being assessed against industry competency standards and we are seeking your support in the judgement of their competence.</p> <p>Please answer these questions as a record of their performance while working with you. Thank you for your time.</p>			
Do you believe the trainee has demonstrated the following skills? <i>(tick the correct response]</i>	Yes	No	Not sure
Explains OSH requirements to staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Makes OSH information available in the workplace	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Monitors the workplace and identifies and reports hazards and risks promptly	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Implements appropriate risk control procedures to address identified workplace risks and hazards	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Evaluates and takes appropriate action on risk control measures that have been applied in the workplace	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Identifies and arranges for delivery of OSH training in the workplace for staff as required	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Completes designated workplace OSH records when required	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Uses OSH workplace records to identify hazards and evaluate controls	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Comments/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	Implement occupational safety and health procedures	D1.HRS.CL1.07 D1.HOT.CL1.03 D2.TCC.CL1.03
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: Provide information on health and safety procedures						
Explain relevant health and safety information, including enterprise specific details, accurately and clearly to staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Make health and safety information accessible to staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Element 2: Implement and monitor procedures for controlling hazards and risks						
Identify and report workplace hazards and risks promptly by maintaining close contact with day to day workplace operations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Implement and monitor risk control procedures in accordance with enterprise and legal requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Evaluate and adjust risk control procedures as required	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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 3: Implement and monitor health and safety training						
Identify health and safety training needs through regular workplace monitoring	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Arrange training interventions as appropriate on a timely basis	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Element 4: Maintain health and safety records						
Complete records accurately in accordance with enterprise and legal requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Aggregate information and data from work area records are used to identify hazards and monitor risk control procedures in work area	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Candidate signature			Date			
Assessor signature			Date			

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