



# Observe and monitor people

D1.HSS.CL4.05

Assessor Manual





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**Assessor Manual**



**William Angliss**  
Institute

Specialist centre  
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
- Case Studies

- 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
<b>Prior to the assessment I have:</b>		
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.		
<b>During the assessment I have:</b>		
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.		
<b>After the assessment I have:</b>		
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

<b>UNIT TITLE:</b> OBSERVE AND MONITOR PEOPLE		<b>NOMINAL HOURS:</b> 50
<b>UNIT NUMBER:</b> D1.HSS.CL4.05		
<b>UNIT DESCRIPTOR:</b> This unit deals with skills and knowledge required to observe and monitor people in order to identify suspicious or unwanted patrons and deter unwanted and/or illegal activity on the premises. It also deals with the apprehension, search and detention of people perceived to be offenders, who are found on the premises.		
<b>ELEMENTS AND PERFORMANCE CRITERIA</b>	<b>UNIT VARIABLE AND ASSESSMENT GUIDE</b>	
<p><b>Element 1: Prepare for observation and monitoring</b></p> <p>1.1 Identify <i>areas and people who require observation and monitoring</i></p> <p>1.2 <i>Read logs and records of previous events</i></p> <p>1.3 <i>Prepare equipment</i></p> <p>1.4 <i>Plan the observation and monitoring</i></p> <p>1.5 <i>Notify relevant other staff or support services</i></p> <p><b>Element 2: Implement observation and monitoring activities</b></p> <p>2.1 <i>Check identification cards</i></p> <p>2.2 <i>Ensure authorised access to restricted areas</i></p> <p>2.3 <i>Monitor entry into the premises</i></p> <p>2.4 <i>Identify unattended items</i></p> <p>2.5 <i>Identify banned/prohibited persons</i></p>	<p><b>Unit Variables</b></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 all industry sectors, where members of the public are on the premises, within the labour divisions of the hotel and travel industries and may include:</p> <ol style="list-style-type: none"> <li>1. Front Office</li> <li>2. Housekeeping</li> </ol> <p><i>Areas and people who require observation and monitoring may include:</i></p> <ul style="list-style-type: none"> <li>• Internal and external areas of the premises</li> <li>• Departments within the venue</li> <li>• Specific/known trouble-spots</li> <li>• High traffic areas, entry ways, public areas within the building</li> <li>• Areas with a record of accidents and incidents</li> <li>• Areas identified by assignment instructions</li> </ul>	

<p><b>2.6</b> <i>Observe people who are behaving suspiciously</i></p> <p><b>2.7</b> <i>Respond to unlawful or suspicious incidents and people</i></p> <p><b>Element 3: Determine apprehension of offenders</b></p> <p><b>3.1</b> <i>Identify if lawful arrest should be effected</i></p> <p><b>3.2</b> <i>Prepare for apprehension</i></p> <p><b>Element 4: Arrest offenders</b></p> <p><b>4.1</b> <i>Observe legal rights of the offender</i></p> <p><b>4.2</b> <i>Apprehend the offender</i></p> <p><b>4.3</b> <i>Search the offender</i></p> <p><b>4.4</b> <i>Maintain personal safety</i></p> <p><b>4.5</b> <i>Detain the offender</i></p> <p><b>Element 5: Fulfil administrative responsibilities</b></p> <p><b>5.1</b> <i>Complete necessary internal forms and reports</i></p> <p><b>5.2</b> <i>Cooperate with the authorities to process the offender</i></p> <p><b>5.3</b> <i>Cooperate with management in making recommendations to enhance patron and staff safety</i></p>	<ul style="list-style-type: none"> <li>• Members of the public</li> <li>• Persons influenced by drugs or alcohol</li> <li>• Known trouble-makers.</li> </ul> <p><i>Read logs and records</i> may include:</p> <ul style="list-style-type: none"> <li>• Determining the nature, scope, time and location of previous occurrences</li> <li>• Identifying individuals or groups involved, including staff and members of the public</li> <li>• Identifying previous responses taken by the host organisation and its effect.</li> </ul> <p><i>Equipment</i> may include:</p> <ul style="list-style-type: none"> <li>• Binoculars</li> <li>• Camera</li> <li>• Electronic surveillance equipment such as closed-circuit television</li> <li>• Communications equipment</li> <li>• Recording devices, such as audio and visual equipment.</li> </ul> <p><i>Plan the observation</i> could include:</p> <ul style="list-style-type: none"> <li>• Determining where to situate security staff and where to monitor/patrol</li> <li>• Calculating number of staff required</li> <li>• Identifying equipment and resources needed to complete the assigned task</li> <li>• Selecting optimum sites for observation</li> <li>• Nominating human and physical targets for observation and monitoring.</li> </ul> <p><i>Other staff or support services</i> could include:</p> <ul style="list-style-type: none"> <li>• Management</li> <li>• Security staff</li> <li>• Police</li> <li>• Emergency services</li> <li>• Private security companies.</li> </ul>
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	<p><i>Identification cards</i> may include:</p> <ul style="list-style-type: none"><li>• Staff identification (ID) cards</li><li>• Visitor identification (ID) cards</li><li>• Supplier identification (ID)</li><li>• Patron identification (ID)</li><li>• Police identification (ID).</li></ul> <p>Authorised access may relate to:</p> <ul style="list-style-type: none"><li>• Ensuring patrons do not enter back-of-house areas</li><li>• Ensuring patrons enter with correct ticketing</li><li>• Ensuring delivery drivers and suppliers access only the areas approved for them</li><li>• Ensuring staff who access are authorised to do so</li><li>• Ensuring staff only access restricted areas at authorised times</li><li>• Checking and confirming the authorisations offered by members of the public to gain access to restricted areas</li><li>• Challenging people found in restricted areas.</li></ul> <p><i>Monitor entry</i> may include:</p> <ul style="list-style-type: none"><li>• Identifying unwanted persons</li><li>• Identifying under-age persons</li><li>• Identifying drunk persons</li><li>• Ensuring patron numbers stay within prescribed limits</li><li>• Disallowing entry after certain times</li><li>• Checking identification of people who enter</li><li>• Recording details of people who enter, as required for special occasions.</li></ul> <p>Identify unattended items may include:</p> <ul style="list-style-type: none"><li>• Advising patrons in relation to unattended items</li></ul>
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	<ul style="list-style-type: none"> <li>• Detecting and assessing unattended items</li> <li>• Cordoning off area if items are deemed suspicious or dangerous</li> <li>• Notifying the authorities.</li> </ul> <p><i>Observe people who are behaving suspiciously</i> may include:</p> <ul style="list-style-type: none"> <li>• Complying with the requirements of assignment instructions</li> <li>• Recording the activities of suspicious people</li> <li>• Obtaining assistance to maintain surveillance of suspicious persons.</li> </ul> <p><i>Respond to unlawful or suspicious incidents and people</i> may include:</p> <ul style="list-style-type: none"> <li>• Identifying behaviour that constitutes an illegal act</li> <li>• Identifying behaviour that constitutes unacceptable behaviour</li> <li>• Asking people to modify their behaviour</li> <li>• Asking people to leave the premises</li> <li>• Recording evidence and obtaining proof</li> <li>• Obtaining assistance, as required</li> <li>• Notifying relevant authorities, as necessary.</li> </ul> <p><i>Identify if lawful arrest should occur</i> may include:</p> <ul style="list-style-type: none"> <li>• Identifying type of behaviour of person and assessing it against relevant legislation</li> <li>• Establishing proof of an offence according to the 'rules of evidence'</li> <li>• Establish justification for apprehension</li> <li>• Discretionary powers of staff/officers.</li> </ul> <p><i>Prepare for apprehension</i> may include:</p> <ul style="list-style-type: none"> <li>• Determining if assistance is required</li> <li>• Deciding if apprehension should occur by staff of the establishment, or the authorities</li> </ul>
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	<ul style="list-style-type: none"> <li>• Ensuring that members of the public and physical assets are protected from injury or damage when the arrest is made</li> <li>• Determining the need to restrain or secure the offender once apprehended</li> <li>• Complying with the requirements of host country legislation.</li> </ul> <p><i>Legal rights</i> of the offender must include:</p> <ul style="list-style-type: none"> <li>• Right to know the reason for the arrest</li> <li>• Compliance with 'reasonable force' requirements</li> <li>• Right to be treated with respect and decency</li> <li>• Right to privacy</li> <li>• Right to protection of their safety.</li> </ul> <p><i>Apprehend the offender</i> may include:</p> <ul style="list-style-type: none"> <li>• Approaching the offender appropriately</li> <li>• Identifying self</li> <li>• Explaining reason for apprehension</li> <li>• Explaining evidence/proof to support the arrest</li> <li>• Giving offender choice to leave the premises, if an appropriate alternative</li> <li>• Restraining or securing the person</li> <li>• Complying with the requirements of host country legislation.</li> </ul> <p><i>Search the offender</i> may include:</p> <ul style="list-style-type: none"> <li>• Looking for items that may be used to cause harm to self or others</li> <li>• Searching for evidence</li> <li>• Complying with the requirements of host country legislation.</li> </ul> <p><i>Personal safety</i> may include:</p> <ul style="list-style-type: none"> <li>• Protecting self and others from injury</li> <li>• Protecting physical assets from damage.</li> </ul>
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	<p><i>Detain the offender</i> may include:</p> <ul style="list-style-type: none"> <li>• Maintaining safety of the detained person</li> <li>• Protecting the rights of the detained person</li> <li>• Rendering basic first aid, if required and if qualified in first aid</li> <li>• Informing management of the arrest</li> <li>• Recording the arrest in accordance with host establishment requirements</li> <li>• Complying with the requirements of host country legislation.</li> </ul> <p><i>Internal forms and reports</i> may relate to:</p> <ul style="list-style-type: none"> <li>• Establishing clearly due legal cause in reports to police</li> <li>• Completing incident details and logs/registers</li> <li>• Complying with special requests from management or the authorities</li> <li>• Completing damage and loss assessment reports</li> <li>• Completing patrol logs and identifying security issues, breaches and potential risks</li> <li>• Assisting in filing insurance claims</li> <li>• Compiling witness statements</li> <li>• Complying with the requirements of the host country legislation.</li> </ul> <p><b>Assessment Guide</b></p> <p>The following skills and knowledge must be assessed as part of this unit:</p> <ul style="list-style-type: none"> <li>• Knowledge of the enterprise's policies and procedures in regard to security</li> <li>• Principles of detecting suspicious behaviour</li> <li>• Overview of host country and local by-laws legislation in relation to observation and apprehension of people</li> <li>• Ability to use observation and monitoring techniques</li> <li>• Ability to follow instructions</li> <li>• Interpersonal communication and problem solving skills.</li> </ul>
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**Linkages To Other Units**

- Perform basic First Aid procedures
- Establish and maintain a safe and secure workplace
- Maintain the security of premises and property
- Operate basic security equipment
- Maintain the safety of premises and personnel
- Provide for the safety of VIPs
- Manage intoxicated persons
- Escort, carry and store valuable items.

**Critical Aspects of Assessment**

Evidence of the following is essential:

- Understanding of legislation of host country relating to the observation and monitoring of people
- Understanding of legislation of host country relating to the apprehension and detention of members of the public by civilians and/or security staff
- Demonstrated ability to plan and prepare for the observation and monitoring of staff and the public in and around the host establishment
- Demonstrated ability to implement practical observation and monitoring activities relevant to designated situations
- Demonstrated ability to identify suspicious persons
- Demonstrated ability to respond to unlawful or suspicious incidents
- Demonstrated ability to legally apprehend, search and detain offenders
- Demonstrated ability to complete required internal and external reports and documentation.

	<p><b>Context of Assessment</b></p> <p>This unit may be assessed on or off the job:</p> <ul style="list-style-type: none"> <li>• Assessment should include practical demonstration either in the workplace or through a simulation activity, supported by a range of methods to assess underpinning knowledge</li> <li>• Assessment must relate to the individual's work area or area of responsibility.</li> </ul> <p><b>Resource Implications</b></p> <p>Training and assessment to include access to a real or simulated workplace; and access to workplace standards, procedures, policies, guidelines, tools and equipment.</p> <p><b>Assessment Methods</b></p> <p>The following methods may be used to assess competency for this unit:</p> <ul style="list-style-type: none"> <li>• Observation of practical candidate performance</li> <li>• Role plays</li> <li>• Case studies</li> <li>• Oral and written questions</li> <li>• Third party reports completed by a supervisor</li> <li>• Project and assignment work.</li> </ul> <p><b>Key Competencies in this Unit</b></p> <p><i>Level 1 = competence to undertake tasks effectively</i></p> <p><i>Level 2 = competence to manage tasks</i></p> <p><i>Level 3 = competence to use concepts for evaluating</i></p>		
	<b>Key Competencies</b>	<b>Level</b>	<b>Examples</b>
	Collecting, organising and analysing information	1	Reading previous reports on surveillance and incidents



	Communicating ideas and information	1	Talking to patron to encourage behaviour modification and/or asking patron to leave the premises
	Planning and organising activities	1	Determining the observation and monitoring activities to be undertaken; determining the action to take when faced with a situation requiring the apprehension of a patron
	Working with others and in teams	1	Requesting assistance from staff, public or authorities; assisting in apprehending and detaining an offender
	Using mathematical ideas and techniques	1	Calculating times and costs involved in monitoring, observation and apprehension activities
	Solving problems	1	Deciding on a response to suspected illegal activities by patrons
	Using technology	1	Using surveillance and communication equipment



# Oral Questions

<b>Student name</b>	
<b>Assessor name</b>	
<b>Location/venue</b>	
<b>Unit of competency</b>	Observe and monitor people D1.HSS.CL4.05
<b>Instructions</b>	<ol style="list-style-type: none"> <li>1. Ask student questions from the attached list to confirm knowledge, as necessary</li> <li>2. Place tick in boxes to reflect student achievement (Pass Competent 'PC' or Not Yet Competent 'NYC')</li> <li>3. Write short-form student answer in the space provided for each question.</li> </ol>

Questions	Response	
	PC	NYC
1. How do you identify areas and people who require observation and monitoring in the workplace?	<input type="checkbox"/>	<input type="checkbox"/>
2. Why is it important to read relevant logs and reports before you start work for a shift?	<input type="checkbox"/>	<input type="checkbox"/>

Questions	Response	
	PC	NYC
3. What equipment do you need to prepare before you start workplace responsibilities in observing and monitoring people?	<input type="checkbox"/>	<input type="checkbox"/>
4. Why is there a need to plan the observation and monitoring of people at work?	<input type="checkbox"/>	<input type="checkbox"/>
5. Who do you notify you are about to start your shift/work of observing and monitoring people?	<input type="checkbox"/>	<input type="checkbox"/>

Questions	Response	
	PC	NYC
1. Describe how you check ID cards of customers who want to access a liquor area.	<input type="checkbox"/>	<input type="checkbox"/>
2. How do you ensure staff are the only ones in restricted ('staff only') areas?	<input type="checkbox"/>	<input type="checkbox"/>
3. How do you monitor the entry of people into the premises/venue or a specific area of it?	<input type="checkbox"/>	<input type="checkbox"/>

Questions	Response	
	PC	NYC
4. Why is it important for you to identify 'unattended items' promptly?	<input type="checkbox"/>	<input type="checkbox"/>
5. Give me three examples of people who might be banned/prohibited persons in a venue.	<input type="checkbox"/>	<input type="checkbox"/>
6. What factors do you look for/take into account when observing people who are behaving suspiciously?	<input type="checkbox"/>	<input type="checkbox"/>

Questions	Response	
	PC	NYC
7. Give me an example of a situation when you have responded to an unlawful person/situation: what action did you take?	<input type="checkbox"/>	<input type="checkbox"/>
8. What factors help you determine whether or not to make a 'citizen's arrest'?	<input type="checkbox"/>	<input type="checkbox"/>
9. You have decided to apprehend an offender: what preparations and/or precautions do you take beforehand?	<input type="checkbox"/>	<input type="checkbox"/>

Questions	Response	
	PC	NYC
10. What legal rights do offenders have?	<input type="checkbox"/>	<input type="checkbox"/>
11. Describe the way you would apprehend an offender: what would you do and say?	<input type="checkbox"/>	<input type="checkbox"/>
12. Describe how you would search an offender.	<input type="checkbox"/>	<input type="checkbox"/>



Questions	Response	
	PC	NYC
13. What action can you take to maintain your personal safety when apprehending an offender?	<input type="checkbox"/>	<input type="checkbox"/>
14. Where would you detain an offender apprehended in your venue?	<input type="checkbox"/>	<input type="checkbox"/>
15. What internal forms and reports do you need to complete in your workplace to fulfil your administrative responsibilities?	<input type="checkbox"/>	<input type="checkbox"/>

Questions	Response	
	PC	NYC
16. Describe how you cooperate with police when processing an offender you have apprehended in the workplace.	<input type="checkbox"/>	<input type="checkbox"/>
17. Give me an example of how you have worked with management to enhance patron and staff safety in your workplace.	<input type="checkbox"/>	<input type="checkbox"/>

# Written Questions

## Observe and monitor people – D1.HSS.CL4.05

Student Name: \_\_\_\_\_

Answer all the following questions and submit to your Trainer.

1. List five reasons to observe and monitor areas and people in the workplace.

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2. List three areas which may require observation and monitoring.

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3. List five classifications of people who may require observation and monitoring.

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4. Identify three 'stakeholders' in a venue with whom you may need to communicate.

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5. Give two reasons why you should read any communication books, logs and records/registers maintained in the workplace before starting work.

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6. Give five examples of surveillance equipment you may need to prepare for observation and monitoring work.

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7. Identify five examples of comms equipment you might use when undertaking observation and monitoring activities.

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8. Name five examples of personal protective equipment and clothing you may need to prepare for observing and monitoring work.

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9. Identify five reasons it is important to plan your activities before you start work.

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10. List three planning activities you may need to undertake before starting work.

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11. Give five examples of tasks you may be required to do when undertaking observing and monitoring tasks.

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12. Give three reasons you need to keep others informed of your activities and location when observing and monitoring.

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13. Provide three examples of staff or support services you may need to notify when starting observing and monitoring work.

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14. Give three reasons ID cards need to be checked.

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15. Describe the checking process for checking customer ID to determine if the person is old enough to enter licensed premises.

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16. List three techniques may be employed to control the physical access of people to nominated restricted areas.

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17. Describe three activities involved in monitoring entry to the venue of specified areas.

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18. Name three factors which must not be used as the basis for denying access to people to a public area in a venue.

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19. Name five points which will assist when the need arises to refuse entry to people.

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20. Identify three ways you may become aware of unattended items.

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21. List five activities which should apply when responding to an identified suspicious package/unattended item.

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22. List four examples of people who may be banned/prohibited from a venue.

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23. Identify three ways you can become aware of people who have been banned/prohibited from using or entering certain parts of the venue.

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24. Give three reasons it is important to identify and observe suspicious persons.

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25. Give five examples of people displaying 'suspicious behaviour'.

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26. What is the 'golden rule' in relation to customer behaviour and crowd control?

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27. What action should you take in relation to 'hearsay allegations' made by a customer about the behaviour of another patron?

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28. List five keys in responding to unlawful incidents.

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29. You have observed an offence being committed but are not sure who did it: should you arrest the person you **think** committed the offence?

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30. List ten factors you should consider/take into account when deciding whether or not to make a citizen's arrest.

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31. Before apprehending an offender you should plan your actions: give four examples of actions which need to be planned.

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32. Identify five ways you can learn the legal rights of a person being subjected to a citizen's arrest in your home country.

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33. Give three reasons it is important to observe the legal rights of a person who has been arrested.

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34. Give five examples of the legal rights of a person who has been the subject of a citizen's arrest.

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35. What are three alternatives to making a citizen's arrest?

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36. What are the steps in making a citizen's arrest?

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37. As a general rule, should you search a person you have arrested?

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38. Identify five strategies for maintaining personal safety after a citizen's arrest has been made.

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39. List three actions which may be required when detaining an offender in order to maintain their rights.

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40. Identify five points to note in relation to the need to complete internal forms and reports.

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41. Identify three examples of forms and reports which you may need to complete to fulfil your administrative responsibilities.

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42. Give five reasons it is important to complete required forms and reports.

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43. List five activities you may need to undertake to cooperate with authorities/police to process an offender.

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44. Identify five activities you might undertake to demonstrate your support for management in their endeavours to optimise safety at the venue.

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# Answers to Written Questions

## Observe and monitor people – D1.HSS.CL4.05

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. List five reasons to observe and monitor areas and people in the workplace.

- Predict problems and issues – so appropriate preventative and/or remedial action can be taken
- Gather intelligence:
  - To support development of plans for, and courses of, action to address issues and problems
  - As part of an investigation into an event or incident
- Provide a sense of security and safety to people in the venue – including guests, customers, staff and members of the public/visitors to the venue
- Help discharge duty of care obligations – these are common law obligations imposed on businesses to take protect those in the venue against foreseeable harm
- Meet expectations guests and customers have about the service which the venue will provide them with
- Honour obligations venues are required to comply with in relation to, for example:
  - Contracts to which the business is a party
  - Codes of practice the venue subscribes to or is bound by
  - Public statements the venue makes about itself to instil confidence in it current and potential customers.

### 2. List three areas which may require observation and monitoring.

- Internal and external areas of the premises – including:
  - Driveways, footpaths and parking areas
  - Gardens, walkways, outside entertainment and recreation areas
  - Back-of-house and front-of-house areas
  - Operational and support departments
  - Vehicles
- Specific/known trouble-spots – such as:
  - Crowds and high patron numbers
  - Entertainment areas
  - Liquor service outlets
  - Physical bottlenecks

- Areas with a record/history of accidents and incidents
- Secluded and unlit areas
- High traffic areas – which frequently include:
  - Entrance areas
  - Foyers and lobbies
  - Public areas within the building – especially toilets
  - Conference and meeting rooms/areas
  - Popular revenue points
- Areas and/or activities identified by individual assignment instructions – which can include:
  - Special requests from clients for observation, monitoring and other security-related services
  - Special events and functions
  - Nominated activities – which have raised concern or are believed to be associated with some form of criminal or anti-social activity
  - Situations where there is existing damage or problems with an area/the structure or facilities of the venue
  - Areas identified by authorities as requiring extra attention.

**3. List five classifications of people who may require observation and monitoring.**

- VIPs staying at or visiting the venue – including their entourage
- Members of the public – who:
  - Visit the venue to use food, beverage and/or other facilities
  - Belong to a specific target group. Most venues will publicly state they do not stereo-type customers/guests and treat everyone as an individual. The reality is many venues (based on experience and venue history) will ‘profile’ customers/guests and target people based on this profiling. As a result, some venues under certain situations will pay special/extra attention to:
    - People of a particular gender
    - People of a certain age
    - Those of a certain appearance
    - Those from given countries
    - Customers who talk or dress in a particular way
- Persons who:
  - Are under the influence of drugs or alcohol
  - Have an aggressive or antagonistic attitude
  - Behave in a deranged manner
  - Are suspicious by virtue of their actions or their location
  - Appear lost or confused



- Seem frightened, intimidated or otherwise distressed
- Are unsuitably attired – according to general principles of decency and as required by house rules
- Are rude, disrespectful and/or annoying to others
- Swear or use offensive language
- Are known trouble-makers
- Have been identified to the venue by local police/authorities
- Have been banned from the premises.

**4. Identify three 'stakeholders' in a venue with whom you may need to communicate.**

- Owner of the premises
- Managers and supervisors
- Other security staff
- Operational and support staff at the venue
- Nominated staff at other venues – many staff 'work together' and cooperate with each in relation to sharing information about 'incidents' and 'certain people' (trouble-makers and known offenders)
- Police
- Complainants
- Victims of crime.

**5. Give two reasons why you should read any communication books, logs and records/registers maintained in the workplace before starting work.**

- Allow you to determine the nature, scope, time and location of previous occurrences
- Enable you to identify individuals or groups involved, including staff and members of the public
- Provide descriptions of previous responses taken by the organisation and its effect.

**6. Give five examples of surveillance equipment you may need to prepare for observation and monitoring work.**

- Notebook
- Binoculars
- Camera/s
- Sound recording device/s
- CCTV
- Detection equipment systems
- Torch/flashlight

- First aid kit
- Signage and barriers.

**7. Identify five examples of comms equipment you might use when undertaking observation and monitoring activities.**

- Hand-held two-way radios (UHF and VHF) – which may feature lapel microphones
- Communication headsets with earpieces – allowing the hands to be free for other work
- Landline telephones – such as the internal telephony system in a venue
- Cell phones – provided by management
- Pagers – of limited use but can be used as a back-up to summon assistance or ask a security officer to check in/contact someone
- Public address systems – can be used to communicate generally with customers, or the systems can be used in defined areas/sections (sectors) only
- Megaphones – for communicating with the public where the PA system does not operate, as an alternative to the PA system or during emergencies and evacuations.

**8. Name five examples of personal protective equipment and clothing you may need to prepare for observing and monitoring work.**

- Body armour
- Protective shields
- Masks
- Safety boots
- Head protection
- Safety glasses
- Knee pads
- Duty belt.

**9. Identify five reasons it is important to plan your activities before you start work.**

- Ensure all required activities/tasks are completed
- Identify and obtain necessary resources for the work to be done
- Sequence the tasks which have to be completed
- Seek intelligence to underpin and explain ‘assignment instructions’ – see below
- Clarify directions/instructions
- Allocate timeframes to identified jobs
- Take responsibility for your own safety.

**10. List three planning activities you may need to undertake before starting work.**

- Determining where to:
  - Situate other security staff to support and assist you
  - Locate yourself for nominated activities
  - Monitor patrons and staff
  - Conduct foot patrols
- Calculating number of staff required – to address:
  - General shift requirements
  - Specific assignments
  - Cooperation when police or external security providers are involved
- Identifying equipment and resources needed – to complete the assigned task, in terms of:
  - Human resources – not only staff numbers (as identified immediately above) but also the skills, experience and expertise of required staff
  - Physical resources
- Selecting optimum sites for observation – which needs to factor in:
  - Lines of sight
  - Safety of others
  - Need **not** to:
    - Alarm customers/guests by your presence and/or activities
    - Alert the target/s to your presence and role
  - Whether covert surveillance is required
  - The need to capture video and/or audio material
  - Availability of support/assistance, if necessary
- Identifying targets for observation and monitoring – these may be:
  - Human targets:
  - Physical targets
  - Functions and/or events.

**11. Give five examples of tasks you may be required to do when undertaking observing and monitoring tasks.**

- Conducting routine security monitoring of the premises – these can include:
  - Regular foot and vehicle patrols
  - Static guard duties – providing a visible presence at an entrance or designated location
- Monitoring and observing crowds with a view to, as required:
  - Directing people

- Controlling vehicle movement – which can include controlling parking and traffic speed
- Preventing access to certain areas
- Deterring and responding to unacceptable behaviour
- Assisting patrons as required
- Undertaking screening activities – of people and/or their property, which may involve:
  - Operating luggage X-ray machine
  - Policing electronic doorways/frames
  - Using hand-held wands
  - Inspecting and checking vehicles
- Checking identification of people/customers – with reference to:
  - Ensuring under-age people to not enter licensed areas
  - Only authorised persons are on the premises
  - Unauthorised people are not allowed into back-of-house areas
- Controlling access to the venue or designated areas – to:
  - Deter unwanted people
  - Assist guests/customers
  - Refuse access to those who are unwanted or not entitled to be on the premises
  - Check age and ID of people
- Monitoring egress of persons from the property – to:
  - Control noise
  - Prevent theft of assets
  - Assist as required
  - Respond to unacceptable behaviour.

**12. Give three reasons you need to keep others informed of your activities and location when observing and monitoring.**

- Others are kept informed and updated
- Your personal safety is optimised
- Support services/personnel can integrate your Intel into their planning and actions
- Others can provide you with information.

**13. Provide three examples of staff or support services you may need to notify when starting observing and monitoring work.**

- Management – such as:
  - Venue manager
  - Duty manager

- Owner
- Head of Security
- Other internal security staff
- Police
- Emergency services
- Private security companies.

**14. Give three reasons ID cards need to be checked.**

- To verify the holder of the card is actually the person shown on the card
- To check the age of the person – as a means of (for example) ensuring people are of legal age to enter a liquor service area, or be provided with alcohol'
- To ensure only authorised persons are allowed to enter designated parts of the venue
- To serve as a deterrent for illegal activities and unauthorised presence to those who do not hold an ID card and do not have a valid reason for being on the premises
- To track those who enter the venue and restricted areas within the business
- To help optimise compliance with legal obligations (relating to age) – which reduces possibility of venue being charged with an offence
- To serve as the basis for checking answers to questions which are asked.

**15. Describe the checking process for checking customer ID to determine if the person is old enough to enter licensed premises.**

- Remember to demonstrate appropriate interpersonal skills
- Inspect the card – to make sure it has not been altered or tampered with
- Check the photograph on the card and compare it against the person holding the card
- Ask their date of birth
- Do other checks at the same time – properly dressed? Not banned? Intoxicated?
- Scan the card into the internal venue card scanning technology (where present).

**16. List three techniques may be employed to control the physical access of people to nominated restricted areas.**

- Swiping ID cards – using specific card scanning technology
- Using barriers/turnstiles to control and limit access
- Visual recognising individuals
- Inspecting ID cards
- Using of bio-metric technology – fingerprint and retina scanning

- Entering security codes – where staff key in a nominated code to gain access/unlock a door
- Using sensors and alarms to identify breaches of security.

**17. Describe three activities involved in monitoring entry to the venue of specified areas.**

- Standing near entry points – to provide a physical presence and deterrent in the hope people who know they are not welcome will not try to gain entry
- Observing people as they enter – and paying attention to:
  - The way they are dressed to ensure it meets specified the dress code for the venue/area
  - Checking their body language (the way they walk and the way they are acting) to identify if they are intoxicated or likely to cause trouble
- Talking to people as they enter – to:
  - See if their speech indicates intoxication
  - Gauge their attitude
- Checking ID of people who enter – by:
  - Physically sighting acceptable proof of age ID and other required evidence of who they are and their entitlement to be granted entry
  - Scanning or otherwise processing ID
  - Verifying their presence against an internal list of expected attendees
  - Comparing the license plates of their vehicle against known/expected tags
  - Asking for letters of authority/invitations which – and comparing these against relevant lists
- Counting the number of people who enter a room/the premises – see discussion relating to ‘maximum patron numbers’ below
- Recording details of people who enter, as required for occasions such as weddings, parties and special events.

**18. Name three factors which must not be used as the basis for denying access to people to a public area in a venue.**

- Their age
- Their gender
- Their race
- The language they speak
- A disability.

**19. Name five points which will assist when the need arises to refuse entry to people.**

- Be firm – do not get talked out of your decision to refuse entry

- Be polite and courteous – refusing entry does not give you the right to be rude or disrespectful. Do not raise your voice. Do not use bad language. Say ‘please’ and ‘thank you’
- Refrain from physical aggression – you:
  - May stand in the way of the person and block their entry
  - May respond to physical aggression only with reasonable force
  - Should not adopt a threatening approach
  - Are not allowed to go ‘hands on’ first – only as a response to what they do
- Explain the reason – quickly and calmly: do not get involved in a long argument or debate
- Apologise – this is part of ‘customer service’. You must remember you are providing customer service even when you are denying someone access to the venue. Say you are sorry when you explain why you are unable to grant them entry
- Tell the person (if this in fact true) they are welcome back *later/tomorrow* but they are not going to be allowed in now because of their dress, language, being intoxicated
- Try to give them as much decision making power as possible – for example, you have told them they cannot come in but you should then ask if they want to:
  - Have a taxi obtained for them
  - Be recommended an alternative venue
  - Return to their room and come back dressed in acceptable clothes.

**20. Identify three ways you may become aware of unattended items.**

- Paying constant attention to items in the workplace – this:
  - Applies primarily to items in front-of-house areas but also in back-of-house areas where such as instances where items are identified in areas which are:
    - Usually totally free any items
    - They are ‘out of place’ by virtue of their types
  - Requires constant attention to scanning/observing the areas in which you are working – focusing efforts on actively searching for items which are unaccompanied
  - Necessitates watching people with items – to identify if they leave items unattended
- Searching for these items – by:
  - Patrolling areas where items may be left by people – such as toilets/rest room areas and changing rooms
  - Opening doors to rooms which are traditionally left unlocked and allow access to rooms/areas by members of the public
- Being advised by another person – such as:
  - Guests, customers or members of the public

- Staff at the venue
- Security staff who may have noticed the item via images from CCTV cameras
- Responding to an alarm – such as an intruder alarm (indicating a breach of security) and finding a new, unexpected or unattended item in the location of the alert.

**21. List five activities which should apply when responding to an identified suspicious package/unattended item.**

- Do not touch it
- Inform your supervisor of what you have found
- Phone the police and report the finding – stay on the line until told to hang up: answer the questions asked to the best of your ability
- Make a public announcement asking the owner of the item to go to the reception area
- Move around the immediate area and ask people if the unattended item belongs to them
- Leave the package in the place/situation where it was discovered
- Cordon off area if items are deemed suspicious or dangerous
- Evacuate people from the immediate area – you may elect to evacuate people from a wider area depending on the nature of what you have found
- Turn off anything likely to trigger an explosion and asking other to turn off similar devices.

**22. List four examples of people who may be banned/prohibited from a venue.**

- Persons such as:
  - Those who have been banned, 'black-listed' or prohibited by the venue/bar
  - Those who are the subject of 'exclusion orders' issued by the authorities – prohibiting them from entering the venue because of previous offences they may have committed on the premises
  - Known trouble-makers
  - Vagrants
- People may have been banned for:
  - Unacceptable behaviour and/or language
  - Starting or being involved in trouble/fights at the premises
  - Failing to pay their bill
- Those who are self-excluded persons – some countries allow people to ban themselves from entering certain parts of venues and businesses are expected to assist them in complying with their self-imposed exclusion by denying them access if they try to gain entry
- People who are known (on the basis of previous experience/checks) to be under-age – and, by law, not allowed on the premises



- Persons who are prohibited by local legislation from entering the premises on the basis of their classification – such as:
  - Known prostitutes
  - Known drug dealers.

**23. Identify three ways you can become aware of people who have been banned/prohibited from using or entering certain parts of the venue.**

- By reading internal communications which identify banned persons – venues often communicate this:
  - Through emails and memos
  - Using an ‘Communication Book’ which all staff are expected to read whenever they attend for work
  - On the venue intranet
  - Using a ‘Banned Persons’ register – which provides details of the person (such as a written description of them, their name and [sometimes] a photograph)
- Talking to other staff at the venue – such as:
  - Department managers and supervisors
  - Staff who were involved in the situation when the person was banned
  - Experienced staff working in the location under consideration
  - Venue owners
  - Other security staff
- Asking the person for ID – and:
  - Using it to confirm the identity of the individual
  - Checking the ID against internal records
  - Presenting the ID to another staff member and asking for their opinion on the status of the person
- As a result of communications from police and authorities – which may be provided:
  - In a joint meeting the venue regularly attends with police and authorities – these are commonplace to facilitate the exchange of information, warn of issues and threats and identify of offenders and banned/prohibited persons
  - Over the phone
  - Face-to-face with officers and inspectors who visit the premises
  - Via email notification
- Through alerts and indicators from technology – this may occur:
  - When their ID is scanned on entry to a venue/bar – when a person is banned/prohibited this system will update to show the individual’s changed status whenever their ID/details are entered into the system
  - When their name is entered into the reservation system when they seek to make a booking or register to stay in or use the venue – people who are banned/prohibited will be flagged as being ‘black-listed’.

**24. Give three reasons it is important to identify and observe suspicious persons.**

- Comply with the requirements of assignment instructions
- Deter offenders
- Safeguard the venue, staff and guests
- Identify offenders
- Maintain the image of the venue as a safe and secure premises.

**25. Give five examples of people displaying 'suspicious behaviour'.**

- Anyone who glances around furtively – to see if they are being watched
- A person who spends a long time browsing – but does not make a purchase or make contact with venue staff
- Someone wearing bulky clothes – which may conceal false pockets to enable shop-lifting/stealing of items
- An individual who lingers around areas/stock identified as 'high risk' stock for your venue – that is stock commonly stolen by offenders
- People loitering in specific areas which have previously been the focus of offences and incidents – such as:
  - In blind spots
  - Around popular/small items
  - Near doors and entrances
- People found in restricted areas – or areas where they have no right to be
- Drivers who get nervous when you:
  - Approach their vehicle
  - Indicate a vehicle search will be conducted
- Any person who has difficulty providing proof of age (or a room key/card) – or is annoyed at being asked to provide it
- Workmen in uniforms (or vehicles) not known to you
- Customers who appear anxious when you:
  - Approach them
  - Watch them
  - Talk to them
- People who appear to show undue attention to:
  - Other customers/guests
  - Staff
  - Operation of an area where cash is present.

**26. What is the 'golden rule' in relation to customer behaviour and crowd control?**

All potentially troublesome situations must be 'nipped in the bud'.

**27. What action should you take in relation to ‘hearsay allegations’ made by a customer about the behaviour of another patron?**

Investigate and obtain first-hand information/evidence.

**28. List five keys in responding to unlawful incidents.**

- Making sure you know 100% what constitutes unlawful incidents/illegal acts
- Notifying CCC immediately regarding what you have discovered:
- Obtaining assistance, as required
- Intervening as required
- Providing first responder action
- Recording evidence – and, as appropriate preserving the scene, obtaining proof and witness statements.

**29. You have observed an offence being committed but are not sure who did it: should you arrest the person you think committed the offence?**

No.

**30. List ten factors you should consider/take into account when deciding whether or not to make a citizen’s arrest.**

- Identifying type of behaviour of person and assessing it against relevant legislation – to determine beyond doubt the person has, in fact, committed an offence
- Having reasonable grounds for the decision
- Considering your personal safety
- Considering the safety of others
- Confirming the arrest will occur during the commission of a crime/offence or immediately after it
- Determining what force/actions may be required
- Checking your scope of authority from the venue allows you to make the arrest
- Verifying back-up is available
- You must have a full understanding of in-country laws and what constitutes an offence
- You must be sure your country allows and recognises citizen’s arrests
- If you are not 100% certain about grounds for an arrest – do not make one
- If you are not 100% certain of the identity of the offender – do not make one
- Advise CCC of your intentions
- If you believe the offender is going to remain on the premises for some time the best course of action is to:
  - Continue to observe and monitor the person – discreetly
  - Call for police attendance – and let them handle the situation
- The arrest should be made as quietly as possible – without attracting undue attention.

**31. Before apprehending an offender you should plan your actions: give four examples of actions which need to be planned.**

Examples include:

- How you will approach the person – your body language, confidence level and overall demeanour
- Maintaining personal safety and the safety of others
- The physical location where you intend making the arrest
- What you will say and your tone of voice
- How you will respond if the person resists or argues.

**32. Identify five ways you can learn the legal rights of a person being subjected to a citizen's arrest in your home country.**

- Speaking with the solicitor who represents the venue where you work
- Talking to local police or courts
- Reading relevant legislation
- Researching the internet
- Asking management at the venue as well as more senior security personnel
- Attending formal internal training courses.

**33. Give three reasons it is important to observe the legal rights of a person who has been arrested.**

- Reduce the potential for you to be the subject of legal action as a result of the arrest
- Avoid a situation where the culprit avoids prosecution because 'due process' was not followed
- Inform them regarding what is taking place
- Ensure people's civil liberty and civil rights are respected
- Demonstrate your professionalism and expertise.

**34. Give five examples of the legal rights of a person who has been the subject of a citizen's arrest.**

May include:

- To be told the reason for the arrest
- Not to be subject to more than the use of 'reasonable force'
- Right to be treated with respect and decency
- Right to privacy
- Right to protection to ensure their safety.
- Right not to cooperate
- Right not to speak or answer your questions

- Right not to say anything which might incriminate them
- Not to be searched.

**35. What are three alternatives to making a citizen's arrest?**

- Ignore the situation - and take no action
- Look at the offender – and let them know they are being observed
- Let the offender see you talk into your radio while looking at them
- Talk to the person – and ask them to change their behaviour, advising them of the consequences of not doing so
- Ask them to leave.

**36. What are the steps in making a citizen's arrest?**

- Approach the offender appropriately
- Identifying yourself
- Tell them you are arresting them
- Place a hand on them
- Explain the reason for apprehension
- Explaining the evidence/proof you have to support the arrest
- Asking the person to accompany you
- Restraining the person
- Complying at all times with the requirements of host country legislation.

**37. As a general rule, should you search a person you have arrested?**

No.

**38. Identify five strategies for maintaining personal safety after a citizen's arrest has been made.**

- Securing/restraining the offender – if local laws allow you to do this
- Getting back-up to assist you
- Keeping 'eyes on' the offender at all times
- Moving any threats or potential weapons away from the area
- Continuing to appreciate only 'reasonable force' can be used
- Advising/telling the offender any acts of aggression will be met with an appropriate response
- Moving away from the offender
- Asking others to move away/out of the area for their own safety
- Advising people of the risk posed to them by the offender
- Protecting physical assets from damage.

**39. List three actions which may be required when detaining an offender in order to maintain their rights.**

- Maintaining their rights – as prescribed by local laws, human rights and common decency. These rights include:
  - Not trying to force or coerce them into talking or answering questions
  - Not trying to force or coerce them into agreeing to being searched
  - Not causing them pain or suffering
  - Not subjecting them to ridicule or embarrassment
- Protecting them against harm – this includes protecting them against:
  - Self harm
  - Physical harm caused by anyone (staff or guests/members of the public)
  - Verbal abuse
- Rendering first aid – if necessary, or calling for professional medical attention/an ambulance where necessary
- Providing suitable responses to basic human needs – such as:
  - Access to toilet facilities – if requested
  - Water to drink – if requested
  - Proper clothing – if person is improperly dressed/naked or complaining of being cold.

**40. Identify five points to note in relation to the need to complete internal forms and reports.**

- These vary between venues
- It is important to complete the documents in a timely manner
- Completed documentation needs to be 'forwarded'
- Accuracy is vital
- Obtain necessary in-house training
- Make an effort to look at records/reports others have completed
- Keep a copy of any records/reports you complete
- Seek advice – when uncertain about:
  - Whether a record/report is required
  - Details/information required.

**41. Identify three examples of forms and reports which you may need to complete to fulfil your administrative responsibilities.**

- Incident details and logs/registers
- Damage and loss assessment reports
- Patrol logs
- Insurance claims
- Witness statements.

**42. Give five reasons it is important to complete required forms and reports.**

- Provide a source of information for future reference
- Establish clearly due legal cause in reports to police
- Comply with special requests from management or the authorities
- Provide basis of evidence which may be given in court
- Assist the venue investigate and analyse the incident/event
- Monitor incidents and trends.

**43. List five activities you may need to undertake to cooperate with authorities/police to process an offender.**

- Being interviewed – to provide an official statement of the incident
- Providing internal documents – such as reports and records relating to the incident as well as any witness statements you may have
- Showing them any evidence you may have obtained – relating to the offender/their actions'
- Picking the offender from a line-up
- Providing any CCTV footage you have of the offender and their offence
- Confirming or disagreeing with statements made by the offender
- Answering any questions they have
- Explaining the context of the incident and any previous occurrences which were associated with the offence
- Describing any previous history known about the offender
- Giving additional details about the offence and the offender – as required by the authorities. This can include providing:
  - Dates and times
  - Numbers of people involved
  - Locations
  - Value of items damaged or stolen
- Supporting the police by wanting to press charges – where civilians have this right
- Attending court – and giving testimony.

**44. Identify five activities you might undertake to demonstrate your support for management in their endeavours to optimise safety at the venue.**

- Engage actively with all aspects of risk management when the need to do so arises – risk identification, risk analysis and risk control
  - Participate in regular staff briefings, de-briefings and meetings
  - Participate in scheduled workplace inspections – to:
    - Confirm existing safety arrangements
    - Identify new threats/problems
  - Attend conventions, seminars and conferences which have a safety focus – and report back to management on what you discovered/became aware of
  - Contribute ideas, suggestions and recommendations for improvement to enhance patron and staff safety – see ‘Making recommendations’ below
  - Be willing to trial safety initiatives – and provide feedback on their implementation and effectiveness
  - Complete all internal forms and reports as required – management use these to determine the need for changes to existing safety-related arrangements
  - Visit other venues – to determine the safety protocols they have in place
  - Develop an industry network of personnel who have an interest in, and involvement with, venue safety – and communicate regularly with them to share information
  - Take the time and make the effort to analyse and evaluate indicators of safety-related performance by the venue (such as internal reports, comments by and feedback from staff and guests) – and provide details of your finding to management
  - Fully complying with management directives – regarding need for compliance with:
    - Existing safety policies and procedures
    - Revisions to safety policies and procedures
    - Introduction of new safety policies and procedures.
-



# Observation Checklist

<b>Student name</b>	
<b>Assessor name</b>	
<b>Location/venue</b>	
<b>Unit of competency</b>	Observe and monitor people D1.HSS.CL4.05
<b>Dates of observation</b>	
<b>Instructions</b>	<ol style="list-style-type: none"> <li>1. Over a period of time observe the student completing each of the following tasks:             <ol style="list-style-type: none"> <li>a) Prepare for observation and monitoring</li> <li>b) Implement observation and monitoring activities</li> <li>c) Determine apprehension of offenders</li> <li>d) Arrest offenders</li> <li>e) Fulfil administrative responsibilities</li> </ol> </li> <li>2. Enter the date on which the tasks were undertaken</li> <li>3. Place a tick in the box to show they completed each aspect of the task to the standard expected in the enterprise</li> <li>4. Complete the feedback sections of the form, if required.</li> </ol>

<b>Did the candidate</b>	<b>Yes</b>	<b>No</b>
<b>Element 1: Prepare for observation and monitoring</b>		
Identify areas and people who require observation and monitoring	<input type="checkbox"/>	<input type="checkbox"/>
Read logs and records of previous events	<input type="checkbox"/>	<input type="checkbox"/>
Prepare equipment	<input type="checkbox"/>	<input type="checkbox"/>
Plan the observation and monitoring	<input type="checkbox"/>	<input type="checkbox"/>
Notify relevant other staff or support services	<input type="checkbox"/>	<input type="checkbox"/>

<b>Element 2: Implement observation and monitoring activities</b>		
Check identification cards	<input type="checkbox"/>	<input type="checkbox"/>
Ensure authorised access to restricted areas	<input type="checkbox"/>	<input type="checkbox"/>
Monitor entry into the premises	<input type="checkbox"/>	<input type="checkbox"/>
Identify unattended items	<input type="checkbox"/>	<input type="checkbox"/>
Identify banned/prohibited persons	<input type="checkbox"/>	<input type="checkbox"/>
Observe people who are behaving suspiciously	<input type="checkbox"/>	<input type="checkbox"/>
Respond to unlawful or suspicious incidents and people	<input type="checkbox"/>	<input type="checkbox"/>
<b>Element 3: Determine apprehension of offenders</b>		
Identify if lawful arrest should be effected	<input type="checkbox"/>	<input type="checkbox"/>
Prepare for apprehension	<input type="checkbox"/>	<input type="checkbox"/>
<b>Element 4: Arrest offenders</b>		
Observe legal rights of the offender	<input type="checkbox"/>	<input type="checkbox"/>
Apprehend the offender	<input type="checkbox"/>	<input type="checkbox"/>
Search the offender	<input type="checkbox"/>	<input type="checkbox"/>
Maintain personal safety	<input type="checkbox"/>	<input type="checkbox"/>
Detain the offender	<input type="checkbox"/>	<input type="checkbox"/>
<b>Element 5: Fulfil administrative responsibilities</b>		
Complete necessary internal forms and reports	<input type="checkbox"/>	<input type="checkbox"/>
Cooperate with the authorities to process the offender	<input type="checkbox"/>	<input type="checkbox"/>
Cooperate with management in making recommendations to enhance patron and staff safety	<input type="checkbox"/>	<input type="checkbox"/>
<b>Did the student's overall performance meet the standard?</b>	<input type="checkbox"/>	<input type="checkbox"/>

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



## Third Party Statement

<b>Student name:</b>			
<b>Name of third party:</b>		<b>Contact no</b>	
<b>Relationship to student:</b>	<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>		
<b>Unit of competency:</b>	Observe and monitor people D1.HSS.CL4.05		
<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>			
<b>Do you believe the trainee has demonstrated the following skills?</b> <i>(tick the correct response]</i>	<b>Yes</b>	<b>No</b>	<b>Not sure</b>
Identifies areas and people who need to be monitored and observed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Prepares and plans appropriately to undertake observation and monitoring duties	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Checks ID cards of persons and ensures only authorised people enter restricted areas	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Identifies and responds to unattended items and banned persons	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Observes and responds to suspicious and/or unlawful persons/incidents	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Arrests/apprehends persons when required complying with all legal requirements and observing the rights of the offender	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Detains and searches offenders	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Cooperates with authorities in processing offenders who have been detained	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Completes necessary internal administrative documents	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Cooperates with management to improve patron and guest safety	<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

<b>Name of Student</b>		
<b>Name of Assessor/s</b>		
<b>Unit of Competency</b>	Observe and monitor people	D1.HSS.CL4.05
<b>Date assessment commenced</b>		
<b>Date assessment finalised</b>		
<b>Assessment decision</b>	Pass Competent / Not Yet Competent (Circle one)	
<b>Follow up action required</b> (Insert additional work and assessment required to achieve competency)		
<b>Comments/observations by assessor/s</b>		

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
<b>Element 1: Prepare for observation and monitoring</b>						
Identify areas and people who require observation and monitoring						
Read logs and records of previous events						
Prepare equipment						
Plan the observation and monitoring						
Notify relevant other staff or support services						
<b>Element 2: Implement observation and monitoring activities</b>						
Check identification cards						
Ensure authorised access to restricted areas						
Monitor entry into the premises						
Identify unattended items						
Identify banned/prohibited persons						
Observe people who are behaving suspiciously						
Respond to unlawful or suspicious incidents and people						



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
<b>Element 3: Determine apprehension of offenders</b>						
Identify if lawful arrest should be effected						
Prepare for apprehension						
<b>Element 4: Arrest offenders</b>						
Observe legal rights of the offender						
Apprehend the offender						
Search the offender						
Maintain personal safety						
Detain the offender						
<b>Element 5: Fulfil administrative responsibilities</b>						
Complete necessary internal forms and reports						
Cooperate with the authorities to process the offender						
Cooperate with management in making recommendations to enhance patron and staff safety						
<b>Candidate signature:</b>			<b>Date:</b>			
<b>Assessor signature:</b>			<b>Date:</b>			





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