

## **DK3Y 04 (HSC3117/AF4) Conduct an assessment of risks in the workplace**

### **Elements of competence**

HSC3117.1	Identify hazards in the workplace
HSC3117.2	Assess the level of risk and recommend action
HSC3117.3	Review your workplace assessment of risks

### **About this Unit**

For this Unit you need to carry out risk assessments according to regulatory requirements, identifying hazards in the workplace, assessing the level of risks resulting from those hazards, making recommendations to control the risk and reviewing the results.

### **Scope**

The scope is here to give you guidance on possible areas to be covered in this Unit. The terms in this section give you a list of options linked with items in the performance criteria. You need to provide evidence for any option related to your work area.

**Information Sources:** internal Health and Safety experts; HSE offices; relevant industry publications; external organisation (using a minimum of one type of information source).

**Hazards** relating to: the use of plant and equipment; the use of substances hazardous to health; the workplace layout; the working practices; the job role; people with special needs (identify a minimum of two types of hazard listed).

**Responsible persons** are: management associated with the examined activities; employees associated with the examined activities; decision makers; union representatives; staff representatives (identify a minimum of two responsible persons listed).

**Previous and new working practices** relating to: plant, machinery and equipment; substances or materials; people (make a minimum of one comparison between previous and new working practices).

**Changes in the workplace** relating to: layout of workplace; new facilities and services (identify a minimum of one type of change in the workplace for new hazards listed).

### **Evidence Requirements for the Unit**

**It is essential that you adhere to the Evidence Requirements for this Unit – please see details overleaf.**

<b>SPECIFIC EVIDENCE REQUIREMENTS FOR THIS UNIT</b>
<p><b>Simulation:</b></p> <ul style="list-style-type: none"> <li>• Simulation is <b>NOT</b> permitted for any part of this unit.</li> </ul>
<p><b>The following forms of evidence ARE mandatory:</b></p> <ul style="list-style-type: none"> <li>• <b>Direct Observation:</b> Your assessor or an expert witness must observe you in real work activities which provide a significant amount of the performance criteria for most of the elements in this unit. The evidence must, at all times, reflect, the policies and procedures of the workplace as linked to current legislation and the values and principles for best practice within the Care Sector. This will include National Service Standards for your area of work or client group.</li> <li>• <b>Reflective Account/professional discussion:</b> These will be a description of your practice such as you describing your actions in a particular situation (s) and reflecting on the reason (s) for you practising in that way, probably in relation to the carrying out of risk assessments.</li> </ul>
<p><b>Competence of performance and knowledge could also be demonstrated using a variety of evidence from the following:</b></p> <ul style="list-style-type: none"> <li>• <b>Questioning/professional discussion:</b> May be used to provide evidence of knowledge, legislation, policies and procedures which cannot be fully evidenced through direct observation or reflective accounts. In addition the assessor/expert witness may also ask questions to clarify aspects of your practice.</li> <li>• <b>Expert Witness:</b> A designated expert witness may provide direct observation of practice, questioning, professional discussion and feedback on reflective accounts.</li> <li>• <b>Witness testimony:</b> Can be a confirmation or authentication of the activities described in your evidence which your assessor has not seen. This could be provided by a work colleague or service user.</li> <li>• <b>Products:</b> these can be any record that you would normally use within your normal role e.g. supervision meeting records, staff meetings, risk assessments, records and reports, etc. You need not put confidential records in your portfolio, they can remain where they are normally stored and be checked by your assessor and internal verifier. If you do include them in your portfolio they should be anonymised to ensure confidentiality. You may have already completed an assignment or project, (for example during an HNC, NC, VRQ or BTec course). You could also use evidence of previous in-house training courses or programmes you have completed-for example moving and handling, First Aid.</li> </ul>
<b>GENERAL GUIDANCE</b>
<ul style="list-style-type: none"> <li>• Prior to commencing this unit you should agree and complete an assessment plan with your assessor which details the assessment methods you will be using, and the tasks you will be undertaking to demonstrate your competence.</li> <li>• Evidence must be provided for ALL of the performance criteria ALL of the knowledge and the parts of the scope that are relevant to your job role.</li> <li>• The evidence must reflect the policies and procedures of your workplace and be linked to current legislation, values and the principles of best practice within the Care Sector. This will include the National Service Standards for your areas of work and the individuals you care for.</li> <li>• All evidence must relate to your own work practice.</li> </ul>

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### KNOWLEDGE SPECIFICATION FOR THIS UNIT

Competent practice is a combination of the application of skills and knowledge informed by values and ethics. This specification details the knowledge and understanding required to carry out competent practice in the performance described in this unit.

When using this specification **it is important to read the knowledge requirements in relation to expectations and requirements of your job role.**

**You need to provide evidence for ALL knowledge points listed below. There are a variety of ways this can be achieved so it is essential that you read the ‘knowledge evidence’ section of the Assessment Guidance.**

<b>You need to show that you know, understand and can apply in practice:</b>	<b>Enter Evidence Numbers</b>
<b>Legislation and organisational policy and procedures</b>	
1 The responsibilities for risk assessments as required by the Management of Health and Safety at Work Regulations 1992 and other related regulations.	
2 Your legal duties for health and safety in the workplace as required by the Health and Safety at Work Act 1974.	
3 Your duties for health and safety as defined by any specific legislation covering your job role.	
4 Your own limitations, job responsibilities and capabilities.	
<b>Theory and practice</b>	
5 Effective procedures for carrying out a risk assessment.	
6 The purpose, legal implications and importance of carrying out risk assessments.	
7 What to do with the results of the risk assessment.	
8 Hazards that are most likely to cause harm to health and safety.	
9 The particular health and safety risks which may be present in your own job role and the precautions to be taken.	
10 The importance of remaining alert to the presence of hazards in the whole workplace.	
11 The importance of dealing with or promptly reporting risks.	
12 Methods of identifying hazards including direct observation, examining records, or interviews.	
13 The work areas and people for whom you are carrying out the assessment.	
14 Work activities of the people in the workplace where you are carrying out the risk assessment.	
15 Resources required for a risk assessment to take place.	
16 Information resources for risk assessment (eg HSE publications).	
17 Where to find expert advice and guidance.	
18 Effective communication methods.	

## DK3Y 04 (HSC3117/AF4) Conduct an assessment of risks in the workplace

### HSC3117.1 Identify hazards in the workplace

Performance criteria		DO	RA	EW	Q	P	WT
1	You define, clearly, why and where the <b>risk</b> assessment will be carried out.						
2	You confirm that all the information available to you on statutory health and safety regulations is up-to-date and from recognised and reliable information sources.						
3	You recognise your own limitations and seek expert advice and guidance on risk assessment when appropriate.						
4	You select a method of identifying <b>hazards</b> appropriate to the workplace being assessed.						
5	Your investigation fully identifies those areas in the workplace where hazards with a potential for serious harm to health and safety are most likely to occur.						
6	You identify hazards which could result in serious harm to people at work or other person.						
7	You record those hazards in a way which meets legal, good practice and workplace requirements.						
8	You report the results of the process to the responsible persons in an agreed format and timescale.						

### HSC3117.2 Assess the level of risk and recommend action

Performance criteria		DO	RA	EW	Q	P	WT
1	You review all legal requirements that are appropriate to your workplace and working practices, to ensure effective control measures are in place.						
2	You confirm that industry standards and all other reasonable precautions are in place.						
3	You identify hazards that could be eliminated.						
4	For hazards that cannot be eliminated, you start your work assessment with those hazards that are most likely to cause serious harm to people at work or other people.						

DO = Direct Observation  
EW = Expert Witness

RA = Reflective Account  
P = Product (Work)

Q = Questions  
WT = Witness Testimony

## DK3Y 04 (HSC3117/AF4) Conduct an assessment of risks in the workplace

### HSC3117.2 Assess the level of risk and recommend action (cont)

Performance criteria		DO	RA	EW	Q	P	WT
		5	You assess the level of risk and consider how the risks can be controlled to minimise harm.				
6	You list unacceptable risks in priority order, including all breaches of relevant health and safety legislation and workplace procedures.						
7	You prepare a risk assessment report containing recommendations for minimising risks.						
8	You present the results of the risk assessment to responsible persons in the agreed format and timescale.						

### HSC3117.3 Review your workplace assessment of risks

Performance criteria		DO	RA	EW	Q	P	WT
		1	You compare the latest risk assessment to current workplace and working practices.				
2	You identify accurately, any significant differences between previous and new working practices.						
3	You investigate the action taken as a result of your recommendations specified in the latest risk assessment.						
4	You identify accurately, new hazards arising from changes in the workplace or working practices.						
5	You make changes to your risk assessment in line with the review.						
6	You inform promptly, everyone affected by the changes.						

*DO = Direct Observation*  
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**DK3Y 04 (HSC3117/AF4) Conduct an assessment of risks in the workplace**

*To be completed by the Candidate*

**I SUBMIT THIS AS A COMPLETE UNIT**

Candidate's name: .....

Candidate's signature: .....

Date: .....

*To be completed by the Assessor*

*It is a shared responsibility of both the candidate and assessor to claim evidence, however, it is the responsibility of the assessor to ensure the accuracy/validity of each evidence claim and make the final decision.*

**I CERTIFY THAT SUFFICIENT EVIDENCE HAS BEEN PRODUCED TO MEET ALL THE ELEMENTS, PCS AND KNOWLEDGE OF THIS UNIT.**

Assessor's name: .....

Assessor's signature: .....

Date: .....

**Assessor/Internal Verifier Feedback**

*To be completed by the Internal Verifier if applicable*

***This section only needs to be completed if the Unit is sampled by the Internal Verifier***

Internal Verifier's name: .....

Internal Verifier's signature: .....

Date: .....