

DK3Y 04 (HSC 3117) Conduct an assessment of risks in the workplace

Elements of competence

- HSC 3117.1 Identify hazards in the workplace
- HSC 3117.2 Assess the level of risk and recommend action
- HSC 3117.3 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.

Users of this standard will need to ensure practice reflects up to the date information and policies.

Your **knowledge and understanding** will be specifically related to legal requirements and codes of practice and conduct applicable to your job, and the NHS Knowledge and Skills Framework. This will relate to your work activities; the job you are doing, and the setting, eg in hospital and community, domiciliary, residential care, and the individuals you are working with.

Values — the values underpinning this Unit are embedded within the 2009 NHS Code of Conduct for Health Care Support Workers. These are stated in full within the Assessment Strategy and Guidance document for the awards.

Key Words and Concepts — a glossary of definitions, key words and concepts used in this Unit is contained in the Assessment Strategy and Guidance document.

In occupational standards it is quite common to find words or phrases used which you will be familiar with, but which, in the detail of the standards, may be used in a very particular way. **You should read the Assessment Strategy and Guidance document before you begin working with the standards and refer to it if you are unsure about anything in the Unit.**

Specific Evidence Requirements for the Unit

It is essential that you adhere to the Evidence Requirements for this Unit

SPECIFIC EVIDENCE REQUIREMENTS FOR THIS UNIT
Simulation:
<ul style="list-style-type: none"> ◆ Simulation is NOT permitted for any part of this Unit. ◆ The following forms of evidence ARE mandatory: ◆ Direct Observation: Your assessor or expert witness must observe you in real work activities. Their confirmation of your practice will provide evidence for a significant amount of the performance criteria in this Unit. For example, your assessor may observe you identifying hazards which could result in serious harm to people at work or other persons. ◆ Professional discussion: Describes your actions in a particular situation and reflect on the reason(s) why you practice that way. For example, your assessor may ask you to explain, with an example, the importance of dealing with, or promptly reporting, risks.
Competence of performance and knowledge could also be demonstrated using a variety of evidence from the following:
<ul style="list-style-type: none"> ◆ Reflective Account: These are written pieces of work which allow you to reflect on the course of action you took in a specific situation to identify any learning from the piece of work and to describe what you might do differently in the light of your new knowledge. ◆ Questioning/professional discussion: 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 your assessor/mentor or expert witness may also ask questions to clarify aspects of your practice. ◆ Expert Witness: A designated expert witness, eg a senior member of staff, may provide a direct observation of your practice, or record a professional discussion they have held with you on a specific piece of practice. ◆ Witness Testimony: Can be a confirmation or authentication of the activities described in your evidence which your assessor or mentor has not seen. ◆ Products: These can be any record that you would normally use within your normal role, eg you should not put confidential records in your portfolio; they can remain where they are normally stored and be checked by your assessor and internal verifier. ◆ Prior Learning: You may be able to use recorded prior learning from a course of training you have attended within the last two years. Discussion on the relevance of this should form part of your assessment plan for each Unit. ◆ Simulation: There may be times when you have to demonstrate you are competent in a situation that does not arise naturally through your work role, eg dealing with violent or abusive behaviour. The Evidence Requirements in each Unit provide specific guidance regarding the use of simulation.
GENERAL GUIDANCE
<ul style="list-style-type: none"> ◆ 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. ◆ Evidence must be provided for ALL of the performance criteria, ALL of the knowledge. ◆ 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 Health Care sector. This will include the National Service Standards for your areas of work. ◆ All evidence must relate to your own work practice.

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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.

You need to show that you know, understand and can apply in practice:	Enter Evidence Numbers
Legislation and organisational policy and procedures	
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.	
Theory and practice	
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.	

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Element DK3Y04.1 Identify hazards in the workplace

Performance Criteria		DO	RA	EW	Q	P	WT	PD
		1	You define, clearly, why and where the risk 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 hazards 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.							

DO = Direct Observation

EW = Expert Witness

PD = Professional Discussion

RA = Reflective Account

P = Product (Work)

Q = Questions

WT = Witness Testimony

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Element DK3Y04.2 Assess the level of risk and recommend action

Performance Criteria		DO	RA	EW	Q	P	WT	PD
		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.							
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.							

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Element DK3Y04.3 Review your workplace assessment of risks

Performance Criteria		DO	RA	EW	Q	P	WT	PD
		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.							

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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: