



Sample workbook for interested learners

National Vocation Qualification Level 3 Certificate in Occupational Health & Safety Practice.

Candidates Name: _____



Start date: _____

Completion target date: _____



Level 3 NVQ/QCF Certificate in Occupational Health and Safety Practice

Unit 301	Ensure responsibility for actions to reduce risks to health and safety (Task 2)	Unit 304	Promote a culture of H&S in the workplace (Task 1)
.1	Be able to identify the hazards & evaluate the risks in the workplace	.1	Be able to develop plans to promote a H&S culture in the workplace
.2	Be able to reduce the risks to HS& in the workplace	.2	Be able to implement the plan to promote a H&S culture in the workplace
.3	Know how to reduce risks to H&S in the workplace	.3	Be able to monitor & review plan to promote H&S culture in the workplace
Unit 302	Develop procedures to safety control work operations (Task 3)	.4	Know reasons for promoting a H&S culture in the workplace
.1	Be able to develop procedures for maintaining a healthy & safe workplace	Unit 305	Conduct a H&S risk assessment of the workplace (Task 2)
.2	Be able to review the effectiveness of H&S procedures in the workplace	.1	Be able to prepare for a workplace risk assessment
.3	Be able to communicate Health and Safety procedures to others in the workplace	.2	Be able to identify hazards in the workplace
.4	Know the legal responsibilities for health and safety	.3	Be able to conduct a risk assessment of the workplace
Unit 303	Monitor procedures to safely control work operations (Task 3)	.4	Be able to review a risk assessment
.1	Be able to check that H&S instructions are followed	.5	Know the employers responsibility for RAs as required by current legislation
.2	Be able to recommend changes to H&S workplace instructions		
.3	Be able to make sure that hazards & risks are controlled safely & effectively		

Unit 306	Investigate and evaluate health and safety incidents and complaints in the workplace (Task 4)	Unit 308	Review health and safety procedures in the workplace (Task 5)
.1	Be able to investigate and report workplace incidents and complaints in accordance with legal and workplace requirements	.1	Be able to undertake a review of health and safety in the workplace
.2	Be able to make recommendations as a result of workplace investigations	.2	Be able to carry out a review of workplace health and safety
.3	Know the employers and employees legal responsibilities for health and safety in the workplace	.3	Know how to review health and safety procedures in the workplace



Health and Safety

NVQ/QCF Equivalents

National Qualifications Framework (NQF)		<p>Note.</p> <p>An NVQ/QCF can gain a maximum of 3 CPD points for each unit you have undertaken.</p> <p>Explanation</p> <p>There are nine levels in the QCF, from Entry level to level 8. Every qualification in the QCF comes in one of three sizes — Award, Certificate or Diploma. The qualification name — Award, Certificate or Diploma tells you how long it will take to complete. The level shows how difficult the qualification is.</p> <p>Awards are made up of 1 to 12 credits (or 10 to 120 hours' learning), Certificates 13 to 36 credits (130 to 360 hours' learning) & Diplomas 37 credits or more (370 or more hours' learning) on the QCF.</p>
Higher Educational level	Revised levels	
Doctorate. (PhD)	Level 8 – Specialist Awards. BTEC Advanced Professional Diplomas, Certificates & Awards.	
Masters degrees (MSc), Postgraduate certificates (PGC) & Diplomas	Level 7 – Diplomas. BTEC Advanced Professional Diplomas, Certificates & Awards. (Pre 2011 NVQ/QCF Level 5 in Management of Health & Safety).	
Honours – Bachelor's degree, Graduate certificates & Diplomas.	Level 6 - Diploma in Management. E.g. NEBOSH H&S Diploma or Environmental Management Diploma. BTEC Professional Diplomas, Certificates & Awards.	
Intermediate – Diplomas of Higher & Further Education, Foundation Degrees, Higher National Diplomas (HND).	Level 5 – BTEC Professional Diplomas, Certificates & Awards. NVQ/QCF Level 5 Diploma in Occupational Health & Safety Practice.	
Certificates of Higher Education.	Level 4 – Certificates & awards Post 2011 NVQ/QCF Level 4's.	
A Levels.	Level 3 - Certificates – e.g. NEBOSH General Certificate, TUC Certificate in Occupational Safety & Health. NVQ/QCF Level 3 in Occupational Health & Safety.	
Level 2 - GCSE's & O Levels. Grades A – C. CSE Grade 1. Several 1 day courses run by Chartered Institute of Environmental Health, British Safety Council etc. E.g. Food Safety, Risk Assessment.		
Level 1 - GCSE's Grades D – G, CSE's Grade 2 – 4. BTEC Introductory Diplomas & Certificates BTEC Diplomas, Certificates & Awards, Level 1 NVQ/QCF.		
Entry Level Certificate.		

Equal Opportunities Policy & Special Assessment Requirements

SHE Knows believes that equality of opportunity is fundamental to the development of an environment in which those who work or study can achieve their full potential. The pursuit of equality means that all forms of unfair discrimination will be challenged in whatever form they arise. We believe that inequality can arise across the whole range of our activities - in staff recruitment, selection, dismissal, resource allocation as well as in our NVQ/QCF, training & short course activity. The use of language, gesture & other forms of symbolic behaviour can also threaten equality. SHE Knows wishes to ensure that individual potential can be encouraged & that staff & candidates can act with confidence, competence & with open & critical minds.

We will pursue not only the letter of the law, but the spirit of the law in relation to disability, race, colour, ethnic origin, sexuality, gender or marital status. All managers, staff & candidates of SHE Knows H&S, will be responsible for ensuring that their actions are carried out in the spirit of this Policy. All those involved in guidance, assessment & verification processes will be responsible for ensuring that equal opportunities issues are addressed in relation to those processes.

All marketing & other published material will reflect this Policy. SHE Knows will maintain processes for the monitoring of this Policy & will ensure that the issue is a standing item at all Management Review meetings. This policy will be reviewed on a regular basis. SHE Knows will look to monitor race, gender & disability in relation to staff & candidate profiles &, within the confines of its client base, will take positive action where necessary to redress any inequity.

Assessors must agree assessment methods appropriate to each candidate. Barriers may occur as a result of:

- ✓ A disability or learning difficulty
- ✓ Illness or indisposition
- ✓ English being a second or additional language
- ✓ Lack of confidence or experience
- ✓ Lack of access to the necessary IT equipment at home
- ✓ Shift work & location

The importance of giving appropriate feedback to candidates with Special Assessment Requirements is also recognised. Assessors are encouraged to seek advice from the Internal Quality Assurer whenever necessary.

- ✓ Special assessment arrangements will not give unfair advantage over other learners
- ✓ Special assessment arrangements will not reduce the validity or reliability of the assessment
- ✓ Special assessment arrangements do not compromise the integrity or credibility of the qualification
- ✓ Each learner's requirements are looked at separately and specialist advice from external sources is sought as appropriate and the Assessor advised accordingly
- ✓ Any arrangements used will allow the learner to demonstrate their competence without circumventing the assessment requirements

Centre Appeals Procedure

It is the policy of SHE Knows to ensure fair, objective & honest assessment for all our candidates.

However, in the unlikely event that a candidate claims that his/her assessment has been unfair, a first stage appeal may be lodged on the grounds of one or more of the following criteria:

- ✓ Equal opportunity
- ✓ Clash of personality/culture
- ✓ An unreasonable change in timings or an unrealistic venue
- ✓ Disagreement on claimed competence
- ✓ Receipt of negative feedback

Other reasonable grounds for appeal may be accepted at the discretion of the Centre Co-ordinator.

The **first stage** appeal should be made in writing to the Candidate's Internal Verifier/Internal Quality Assurance within fourteen working days of the assessment. The IV/IQA will reply, confirming receipt of the appeal within three (3) UK working days, & will investigate the complaint. The findings of the investigation will be communicated by the IV/IQA in writing to the candidate within seven (7) UK working days of acknowledging receipt. If the complaint is upheld, re-assessment will be carried out at no additional cost by an alternative Assessor appointed by the IV/IQA & the Centre Co-ordinator.

If the first stage appeal is unsuccessful, the Candidate may submit a **second stage** appeal to the Centre Co-ordinator within seven (7) UK working days of receipt of the outcome of the first stage appeal. The procedure will follow the same timescales as for a first stage appeal & if upheld, re-assessment will be carried out at no additional cost by an alternative Assessor appointed by the Centre Co-ordinator.

If the Candidate wishes to take the appeal beyond the Centre, an appeal should be made in writing to the External Verifier (IQA) at the time of his/her next visit to the Centre. No fee will be charged at this stage. The EV may wish to refer the matter to the Chief Verifier for technical evaluation or for additional comments. If the Verifier is subsequently unable to conclude the matter satisfactorily, the candidate may appeal directly to the Awarding Body. A fee for handling such appeals will be charged to the Candidate, which will be refunded if the appeal is upheld.

Job roles and name of those holding positions within our centre are listed within this workbook.

Overview of the NVQ/QCF Process

What is an NVQ/QCF & how do you achieve an NVQ/QCF?

- ✓ By proving that you have the skills, knowledge & understanding as detailed in the workbook.
- ✓ Providing copies of written reports, risk assessments etc you have undertaken at work that you compile into a portfolio.
- ✓ Observations by your Assessor are carried out in your workplace or recordings of such can be sent in to be assessed.
- ✓ Testimonies by managers to state that you have certain responsibilities & duties at work.
- ✓ Your Assessor judges whether or not the standards have been met.

What are the units?

- ✓ There are 10 units in the H&S Practice Level 5 NVQ/QCF & 7 units in the Level 3.
- ✓ SHE Knows has cross referenced these units for your ease & has created a workbook with a series of tasks for you to complete.

What if you cannot complete all the units for the award?

- ✓ The units you have completed can be assessed & certificated separately, this is called unit certification.

I have already undertaken other H&S qualifications, will these count towards my NVQ/QCF?

- ✓ Certificates gained in the past 2 years can be cross referenced into your NVQ/QCF; this reduces the amount of evidence or professional discussions you may have to produce or discuss with your Assessor. This is called an exemption and may have to be formally applied for with the Awarding Body.

How long does an NVQ/QCF take?

- ✓ Every person has a different work & home schedule; this means an NVQ/QCF can take anywhere between 6 months up to 2 years.
- ✓ Persons with a long career in H&S will have much more evidence at their fingertips, hence be able to undertake their NVQ/QCF at a faster pace.

Remember: You cannot fail an NVQ/QCF. You are either competent or not yet competent.

Once you have completed your NVQ/QCF, your portfolio will be presented to the Internal Quality Assurance and then Awarding Body External Quality Assurer to ensure standards of assessment are uniform across the centres, its Assessors and also nationally or internationally with other centres.

Portfolio of Evidence & Assessment

What is assessment?

Assessment is the process of obtaining evidence & judging it against a recognised standard for each unit & element.

How is the evidence obtained?

Evidence is what you will provide to prove your ability to do your job, your competence & some examples are noted below. Your Assessor will discuss with you the most appropriate ways to gather the evidence & put it into your portfolio.

What is a portfolio?

A portfolio is a convenient way to collect & present your evidence for assessment. Your portfolio can contain any evidence that contributes towards accreditation of the units of competence. Your Assessor will guide you to ensure that the quantity of material does not become unmanageable & that only evidence relevant to the standards is included. Your portfolio should be laid out & indexed well enough that someone new to the portfolio can easily find their way through it.

What should the portfolio contain?

Observation by the Assessor	Notes from your Assessor, including Witness Statements that describe what has been observed & how performance criteria & range statements have been met.
Products of Performance	Letters, memos, risk assessments, reports etc which you have produced in your work environment.
Evidence from others about your	Annotated letters, memos, e-mails, written abilities & work, responses, references from colleagues; often referred to as witness testimony.
Other evidence	Any project, assignment or case study. Questions by your Assessor action plans & activity reports.

Action planning & review documents are essential to document the assessment process, as are the activity reports which log any interaction between you & your Assessor.

Assessment Process - Your competency can be assessed at any of the following stages:

- ✓ At induction, by using our checklist, & supplying copies of previous work history & training.
- ✓ During training; formative assessment of a piece of evidence
- ✓ During observation
- ✓ Through recorded professional discussions
- ✓ Summative assessment of a unit
- ✓ Summative assessment of the entire portfolio of evidence

Types of Evidence - Anything to prove:

- ✓ What you do
- ✓ How well you do it
- ✓ What you know
- ✓ What you understand

This evidence is used by your Assessor to judge whether you have met the standards for your qualification.

For example:

Observation & questioning

Assessor reports

Work product, photocopies, letters, emails, reports, etc.

Testimony of others

Accreditation of prior learning, certificates

Written questions

Taped interviews & discussions– Audio or video

Storyboards/project reports/personal statements

Simulation

Observation

- ✓ Requires forward planning
- ✓ Your Assessor or Observer watches you carry out your job in your working environment, this can be achieved by the use of a digital recorder, and recordings can be emailed to your Assessor, sent via an online “dropbox” facility, or returned on a flash drive.
- ✓ The observation tests whether you are competent in your job role & against the standards.
- ✓ Your Assessor must remain unobtrusive.
- ✓ Must not create disruption; some candidates feel uncomfortable.
- ✓ Observations undertaken must be by a qualified health and safety practitioner, we may request a CV of your Observer.

Questioning

- ✓ To verify your understanding & underpinning knowledge
- ✓ To give you an opportunity to show what you know
- ✓ Questions may be oral or written. These can be covered on a face to face basis or via an online method such as skype
- ✓ The questions must be:
 - Unambiguous
 - Open not closed
 - Relevant to the evidence/units
 - Pitched at the right level

Products of Performance

- ✓ Evidence arising from natural performance
- ✓ Highly relevant
- ✓ Sufficient
- ✓ Valid
- ✓ Authentic

Testimony of Others

- ✓ Reports, emails,
- ✓ Appraisals
- ✓ Verbal & written communications e.g. recorded verbal testimony, copies of e-mail, fax, letters, appraisals etc
- ✓ Testimonies are used to verify:
 - Products of performance
 - The working environment
 - Competency

Retention of Records

- ✓ Once an NVQ/QCF is complete and certified all candidates work will be returned to the candidate or you can opt to have your portfolio shredded at SHE Knows. Any work used as an example for other candidates is only done so by the approval of the creator – intellectual property rights are respected.
- ✓ All notes & reports made by Assessors will be kept for 3 years as per the Awarding Organisation requirements then shredded. Said reports are kept in a lockable filing cabinet and locked office along with any portfolios awaiting verification.
- ✓ Data held on computer will be stored confidentially by means of password protection, encryption or coding.
- ✓ Only authorised employees will have access to your data or work.
- ✓ Copies of certificates are taken and will be kept for the maximum period allowed.

Observations to be undertaken

Your Assessor (or prior designated Observer) will need to observe you in selected tasks at work. Over the next pages are the requirements that may be assessed in your observations. It is not necessary to fulfil all the requirements of these observational criteria, as an NVQ/QCF is about what you do & the observations are a snap shot of this.

Observations to be undertaken	Unit	Signed by	(1) Assessor (2) Observer (3) Witness	Name
Participating in H&S consultation & developing a safety culture (Unit 304)				
Undertaking workplace monitoring (Unit 303)				
Undertaking a risk assessment (Unit 305)				

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Task 2 - (Ensure responsibility for actions to reduce risks to H&S, unit 301, Conduct a H&S risk assessment of the workplace, 305)

Provide examples of risk assessments (RA) you have undertaken where you have inspected & identified hazards, allocated risk ratings & given the recommendations for control measures with a RA review date (i. e. using a 5 step approach or equivalent). RA should consider both employees & others who may be affected. These may in paper or electronic format. (Check the relevant right-hand box when you have a copy of the following.)

Checklist	Paper	Electronic	Completed on..... Signed.....	Paper	Electronic
			Candidates signature		
1. Company risk assessment (if you follow)	<input type="checkbox"/>	<input type="checkbox"/>	10. Risk Assess a work activity where you have identified a training need as part of the control measures.	<input type="checkbox"/>	<input type="checkbox"/>
2. Examples of research undertaken so you know your risk assessments are suitable and sufficient. (e.g. industry standards, best practice)	<input type="checkbox"/>	<input type="checkbox"/>	a. Evidence your plan/organisation of training delivery.	<input type="checkbox"/>	<input type="checkbox"/>
3. Workplace risk assessment report containing:			11. Risk assessment where the hazard is to physical/structural assets (e.g. from transport).	<input type="checkbox"/>	<input type="checkbox"/>
a. Identify within the report that actions required are in priority order to be closed out.	<input type="checkbox"/>	<input type="checkbox"/>	12. Old risk assessment you have reviewed (that was originally inadequate) & additional/improved control measures you have included	<input type="checkbox"/>	<input type="checkbox"/>
b. Highlight hazards that can cause serious harm to people.	<input type="checkbox"/>	<input type="checkbox"/>	a. Email/communication/meeting to show changes have been rolled out and raised in TBT given.	<input type="checkbox"/>	<input type="checkbox"/>
c. Evidence/email your report has been sent to the appropriate person.	<input type="checkbox"/>	<input type="checkbox"/>	13. Risk assessment that was reviewed as a result of an accident.	<input type="checkbox"/>	<input type="checkbox"/>
4. Machinery/PUWER risk assessment with manufacturer's instructions for the machinery.	<input type="checkbox"/>	<input type="checkbox"/>	14. Report or form of communication which you realise that your RA or SSOW do not match your company procedure	<input type="checkbox"/>	<input type="checkbox"/>
5. COSHH risk assessment & supporting MSDS.	<input type="checkbox"/>	<input type="checkbox"/>	a. Email/meeting to organise update/issue of SSOW	<input type="checkbox"/>	<input type="checkbox"/>
6. Biological risk assessment (e.g. Weils, Legionella, Psittacosis).	<input type="checkbox"/>	<input type="checkbox"/>	15. Communication to others as a result of your reviewed risk assessment, demonstrating they are to be aware of the changes (poster, intranet update, TBT, meeting).	<input type="checkbox"/>	<input type="checkbox"/>
7. Ergonomic risk assessment (e.g. DSE).	<input type="checkbox"/>	<input type="checkbox"/>			
8. Emergency provision RA (1st aid, fire, emergency etc).	<input type="checkbox"/>	<input type="checkbox"/>			
9. RA for a physical hazard (e.g. noise, thermal, vibration).	<input type="checkbox"/>	<input type="checkbox"/>			

(Task 2 continued) - Explain to your Assessor the following:

1. Your responsibility in remaining alert to hazards and risks.
2. Your own responsibilities and scope for action in controlling risk.
3. The importance of adhering to health and safety policies and practices.
4. Where and when you can and should get additional health and safety assistance.
 - a) Give an example when you gained expert advice so you could undertake a suitable risk assessment
5. The importance of personal presentation and behaviour in maintaining health and safety in the workplace
6. Your own responsibilities for H&S as defined by current legislation and job specific legislation
7. What particular H&S risks in your job affect your own job role and what precautions are required.
8. How to identify resources for the risk assessment to take place and:
9. How and where to find expert advice and guidance
10. The work areas and people for whom you cover when carrying out the risk assessment
11. What the work activities are in these areas in the workplace
12. The purpose, legal implications and importance of carrying out risk assessments
13. What methods of identifying hazards you use
14. Your workplace hazards most likely to cause harm
15. The importance of remaining alert to the presence of hazards in your workplace
16. The importance of dealing with or promptly reporting risks.
17. How to apply effective communication methods

Comments

Continued Yes No

I have discussed the above with the owner of this workbook & have received sufficient explanations about how these requirements are undertaken at work. We agree that this is an accurate record of our discussion. Assessor Signature: Candidates signature: Date:

Witness Testimony - Authentication of evidence by a witness

Witness testimony is a valuable source of supplementary evidence. It is provided when your Assessor is not available or when you need further evidence to support your portfolio. You may only use witness testimony when:

- ✓ It is provided by someone who is in a position to make valid comment on your performance e.g. supervisor, manager, colleague, customer, or client
- ✓ It relates directly to the level 5 occupational standards in the elements being used to assess you
- ✓ The witness provides personal details

Your Assessor will check with your witness that the testimony is authentic and to clarify any points. This may require the assessor to contact the witness directly.

The following document should be given to your HSE/line-manager (or prior designated person), who should read through the document, check the relevant boxes, making notes/explanations on how your work undertaken relates to the workbook standards, & sign each page.

This shows your Assessor & Verifier the authenticity of your evidence submitted through this workbook, verifying that you do undertake H&S tasks within your role at work. This work can be filled in by several people & for different companies.

Your Assessor may arrange with you to observe you at work, however, there are some tasks within the NVQ/QCF that may be hard for your Assessor to coordinate a visit to watch them occur. For example: Undertaking of an accident investigation or seeking advice from an external source (HSE). This document will provide a back-up if your Assessor cannot see a certain task. You are a distance learner submitting recordings.

The check boxes have a key to them:

O	Often	NJR	Not in job role
WR	When job requests	NC	Not in competency

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Guidance notes for a witness testimony

Thank you for agreeing to write a witness report.

When you are writing the report, please bear in mind the following points:

1. A witness testimony should describe how the candidate carried out a particular work activity
2. You can write this testimony if you were present and observed the candidate carrying out the work activity
3. A witness testimony should be signed and also authenticated by company stamp, letter headed paper or submitted from your email

Witness Name	Page number of WT	Contact details Email/Telephone	Business relationship to candidate

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I confirm that the owner of this workbook is employed as _____ from _____ onwards & undertakes the following activities at work.

Promote a culture of H&S in the workplace	*O	WR	NJR	NC
1.1 Identify where any improvements & changes may be necessary	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.2 Identify how information on H&S instructions & regulations are currently communicated	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.3 Identify current level of workplace understanding & support for H&S instructions & procedures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.4 Develop a plan based on the findings, to include performance measures, review dates & resources	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.5 Plan opportunities for promoting the advantages & legal necessity of following H&S procedures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.1 Present the plan to improve safety culture to the responsible people for the workplace to gain their support	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.2 Identify those in the workplace who will require advice & advice about the plan to promote a H&S culture	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.3 Give information & advice in a timely way, (a) and provide opportunities for encouraging ideas on good practice.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.4 Measure the effectiveness of the plan against (b) and present performance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.1 Research & be aware of the legal & moral responsibilities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.2 Instigate performance measures to monitor & review opportunities for the improvements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Please give comment on:

Description of the work activity completed relevant to improving safety culture
 Details on how the work activity met the occupational standards
 A description of the context in which the work activity was observed

Signed	Name	Position	Date
Sampled by IQA		Date	

*O – Often WR- When Job Requests NJR- Not in Job Role NC- Not in Competency

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