

<b>Unit Title:</b>	<b>Investigate and evaluate health and safety incidents and complaints in the workplace</b>
OCR unit number	6
Unit accreditation number	F/601/6664
Level:	3
Credit value:	5
Guided learning hours:	26
Unit expiry date:	31/12/2013

## Unit purpose and aim

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This unit is for people who are responsible for investigating incidents and complaints involving health and safety in the workplace, evaluating them and making recommendations as a result of these investigations.

This unit is about:

- investigating incidents and health and safety complaints and reporting on the findings of the investigation in line with statutory and organisational requirements.
- making recommendations for improving health and safety in the workplace.

Learning Outcomes	Assessment Criteria	Exemplification
<p><b>The Learner will:</b></p> <p>1 be able to investigate and report workplace incidents and complaints in accordance with legal and workplace requirements.</p>	<p><b>The Learner can:</b></p> <p>1.1 establish prior to the investigation:</p> <ul style="list-style-type: none"> <li>• the required documentation and support materials</li> <li>• the way people involved will be briefed to ensure understanding of the purpose and the expected outcome</li> <li>• how people involved will have the opportunity to clarify any points about the investigation.</li> </ul> <p>1.2 carry out an investigation by gathering accurate and comprehensive information from the people involved in a supportive way and review for inconsistencies.</p>	<p>Documentation could be own organisation's and may include accident reports, risk assessments, maintenance records, witness testimony. Briefings could be meetings, consultations, memos, emails, questionnaires.</p> <p>Information could include testimony from injured person, first aider, colleagues or line managers. Might also include reference to maintenance records, training records, risk assessments, photographs, samples.</p> <p>Details could relate to injured person, type, seriousness and</p>

Learning Outcomes	Assessment Criteria	Exemplification
	<p>1.3 prepare a report containing details of incidents and complaints and forward to those requesting it in the agreed format, timescale and accordance with legal regulations and workplace requirements.</p>	<p>site of injury, damage to plant, machinery or equipment, what happened, possible causes, recommendations details of near miss. May need to be forwarded to line manager, senior management, health and safety specialist, safety committee, HR department, regulatory authority.</p>
<p>2 be able to make recommendations as a result of workplace investigations.</p>	<p>2.1 recommend improvements to health and safety based on accurate and detailed analysis of reports, advice, and support material collected during the investigation.</p> <p>2.2 develop recommendations which comply with:</p> <ul style="list-style-type: none"> <li>• current working practices</li> <li>• relevant legislation and workplace health and safety instructions.</li> </ul> <p>2.3 propose recommendations for improving health and safety, which are workable and include measures for review.</p> <p>2.4 present recommendations to the appropriate people with realistic and achievable plans for implementing them.</p> <p>2.5 produce an action plan to include a review process for checking implementation of the recommendations.</p>	<p>Recommendations may result in new working practices, replacing plant, machinery or equipment, further training, planned risk assessment programme. Improvements could include long and short term measures, simple and easy to implement or more complex. May also involve complying with several pieces of legislation (e.g. noise and PPE regulations).</p> <p>Workable recommendations might take account of cost, manpower, time, need for training. Might include benefits such as potential savings, increased output and offer a number of alternatives.</p> <p>Appropriate people might be line manager, senior management, health and safety specialist, safety committee, HR department.</p> <p>Plans may have timescales, costs, facilities required, manpower required. Could be verbally or in writing, using images, statistics, graphs, charts.</p>
<p>3 know the employers' and employees' legal responsibilities for health and safety in the workplace.</p>	<p>3.1 explain the responsibilities of employers and employees for health and safety as defined by legislation, to include:</p> <ul style="list-style-type: none"> <li>• own capabilities and scope in own job role</li> </ul>	<p>Responsibilities could relate to HASAW Act, Management of Health and Safety Regulations, other legislation specific to own organisation. Employer's responsibilities could also relate to moral obligations.</p>

Learning Outcomes	Assessment Criteria	Exemplification
	<ul style="list-style-type: none"> <li>• the work areas and job roles where the learner is carrying out the investigation.</li> </ul> <p>3.2 explain the workplace requirements for conducting and reporting investigations including:</p> <ul style="list-style-type: none"> <li>• what hazards may exist in the workplace</li> <li>• the importance of dealing with and promptly reporting risks</li> <li>• workplace budgets in relation to carrying out an investigation</li> <li>• roles of external regulatory and research organisations.</li> </ul> <p>3.3 explain how to write action plans and:</p> <ul style="list-style-type: none"> <li>• apply analytical techniques</li> <li>• requirements for maintaining confidentiality of reports.</li> </ul>	<p>Employee's responsibilities could include own legal duties under various acts (eg use of PPE), own level of authority, autonomy and level of expertise. Work areas could be indoors or outdoors, office, warehouse/storage or manufacturing areas.</p> <p>Hazards can be task related, may involve substances, manual handling, use of equipment, machines and plant. Hazards can also be environmental or unseen (noise, vapours). Reporting systems could be written, verbal, may include incident reports, near miss reports. Budgets may include costs of external help and advice, administration costs, cost of management and employee time, cost of any lost production. Regulators could be HSE EHO or other regulatory bodies. Roles could be advice and guidance, investigation, imposition of sanctions, prosecution.</p> <p>Plans can be quantitative or qualitative and have long or short term objectives. Might also contain statistics, benefits, costs, timescales, images, charts and graphs.</p>

## Assessment

Candidates must be assessed over a reasonable period of time using a variety of assessment methods. Observation of real work activities should be a prime source of evidence. It is unlikely that only one observation will be sufficient to infer competence. Examination of work produced by the learner could also provide suitable evidence to infer competence.

Simulation is not allowed.

## Evidence requirements

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Further evidence may include:

- Questioning of the learner
- Completed health and safety documentation
- Witness testimony from line manager or colleague
- Completed risk assessments
- Completed workplace inspection reports
- Completed investigation reports
- Records of training arranged or delivered for others
- Minutes of meetings
- Professional discussion
- Communications to and from regulatory authorities
- Communications to and from health and safety specialists or professionals
- Policies and procedures developed by the learner
- Personal statements
- Case histories
- Projects and assignments

This is an illustration of potential evidence; not a definitive list.

## Guidance on assessment and evidence requirements

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Learners should have a reasonable degree of authority and autonomy and may be responsible for others. They should have access to higher levels of management and may be in a position to influence others.

The learner will probably have defined responsibilities for health and safety in their job role. They will also need the opportunity to research workplace instructions and legislation to enable them to identify anything harmful in the workplace including those not normally visible.

You should refer to the '*Admin Guide: Vocational Qualifications*' (A850) for '*Notes on Preventing Computer-Assisted Malpractice*'.

## National Occupational Standards (NOS) mapping/signposting

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**NOS can be viewed on the relevant Sector Skills Council's website or the Occupational standards directory at [www.ukstandards.co.uk](http://www.ukstandards.co.uk).**

Occupational standards	Unit number	Title
Health and Safety – Stand Alone Units	HSS5	Investigate and evaluate health and safety incidents and complaints in the workplace

## Resources

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There are no special requirements, however, learners will need access to a computer system capable of running spreadsheet software, word processing and business presentation software packages and internet access.

Learners will also require access to their own organisation's records and reports such as Health and Safety and training records.

## Additional information

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For further information regarding administration for this qualification, please refer to the OCR document '*Admin Guide: Vocational Qualifications*' (A850) on the OCR website [www.ocr.org.uk](http://www.ocr.org.uk)