

Level 5 Diploma in Occupational Health and Safety Practice (3654-06)

November 2021 Version 1.8

Qualification Handbook



Qualification at a glance

Subject area	Health and Safety
City & Guilds number	3654
Age group approved	19+
Entry requirements	None
Assessment types	Portfolio
Approvals	Full centre approval
Registration and certification	Consult the Walled Garden/Online Catalogue for last dates

Title and level	GLH	TQT	City & Guilds qualification number	Ofqual accreditation number
Level 5 Diploma in Occupational Health and Safety Practice	115	419	3654-06	603/0385/2

Version and date	Change detail	Section
1.1 September 2016	Progression opportunities clarified	1. Introduction
	Centre staffing update	2. Centre requirements
	Assessment strategy clarified	3. Assessment
1.2 September 2016	Amended assessment criteria 1.2c for unit 514	4. Units
1.3 October	Approval section amended	2. Centre requirements
1.4 October	Unit content amended	5. Units
	Assessment types amended	3. Assessment
1.5 November 2016	Unit 514 – typing error removed from Assessment Criteria 3.4 (P10)	Units
1.6 January 2017	Unit 611 – details added re. assessment / units	Units
1.7 March 2018	Correction of various minor errors.	Throughout
1.8 November 2021	Addition of IOSH Accredited Programme logo and accreditation statements	Cover, pages 6, 10,14,69,71

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1 Introduction

This document tells you what you need to do to deliver the qualification:

Area	Description
Who is the qualification for?	This qualification is for learners who wish to develop their skills and knowledge in managing health and safety for the workplace. They will have an autonomous role in their organisation for managing health and safety policy and practice. They will report direct to or be part of the senior management team. They will recommend and implement changes relevant to their role. They will be aware of cost implications and budgetary control.
What does the qualification cover?	Allows learners to develop and practice the skills required for employment and/or career progression the health and safety sector.
What accreditation does the qualification have?	This qualification is accredited by The Institution of Occupational Safety and Health (IOSH) - the world's leading body for health and safety professionals. Learners will be eligible to enrol with IOSH and IOSH Student membership for the duration of their studies and, on successful completion, they will meet the academic requirements for IOSH membership. As IOSH is the only organisation in the world that offers Chartered membership to health and safety practitioners, this can help members achieve the highest professional standards and gain international recognition.
What opportunities for progression are there?	<p>Allows learners to progress into employment, specialist IOSH qualifications, higher education or to the following City & Guilds qualifications:</p> <ul style="list-style-type: none"> • Level 5 NVQ in Management of Health and Safety • Level 5 NVQ in Occupational Health and Safety Regulation • ILM management NVQs <p>Learners who register for this Level 5 qualification before 1 September 2022 and complete Unit 611 - Professional development and ethics in health and safety management, will be eligible for IOSH Graduate membership. Once learners have achieved the Graduate membership, they can gain Chartered membership by taking an open-book assessment and interview.</p> <p>Learners who register for this Level 5 qualification after 31 August 2022 will be eligible for Associate or Technical membership (A/T) with IOSH. From 1 September 2022, in order to be eligible for IOSH Graduate membership, learners will be required to complete the Level 6 qualification (3655-06).</p>
Who did we develop the qualification with?	This qualification is based on the National Occupational Standards developed by ProSkills UK
Is it part of an apprenticeship framework or initiative?	No

Total Qualification Time

Total Qualification Time (TQT) is the number of notional hours, which represents an estimate of the total amount of time that could reasonably be expected for a learner to achieve and demonstrate the achievement of the level of attainment necessary for the award of a qualification.

TQT is comprised of the following two elements:

- 1) The number of hours which an awarding organisation has assigned to a qualification for Guided Learning, and
- 2) an estimate of the number of hours a Learner will reasonably be likely to spend in preparation, study or any other form of participation in education or training, including assessment, which takes place as directed by - but, unlike Guided Learning, not under the Immediate Guidance or Supervision of - a lecturer, supervisor, tutor or other, appropriate provider of education or training.

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2 Centre requirements

Approval

If your Centre is approved to offer the qualification 3654-05 Occupational Health and Safety Practice, then you will automatically receive approval for the new 3654-06 Occupational Health and Safety Practice.

To offer these qualifications, new centres will need to gain both centre and qualification approval. Please refer to the Centre Manual - Supporting Customer Excellence for further information.

Centre staff should familiarise themselves with the structure, content and assessment requirements of the qualifications before designing a course programme.

Resource requirements

Centre staffing

Staff delivering these qualifications must be able to demonstrate that they meet the following occupational expertise requirements. They should:

- be occupationally competent or technically knowledgeable in the area[s] for which they are delivering training and/or have experience of providing training. This knowledge must be to the same level as the training being delivered
- have recent relevant experience in the specific area they will be assessing
have credible experience of providing training

Assessors and Internal Quality Assurers

hold or be working towards the relevant assessor/internal quality assurer qualifications for their role in delivering/ assessing and internally quality assuring these qualifications.

Continuing professional development (CPD)

Centres are expected to support their staff in ensuring that their knowledge remains current of the occupational area and best practice in delivery, training, assessment and internal quality assurance, and that it takes account of any national or legislative developments.

Centre staff may undertake more than one role, eg tutor and assessor or internal quality assurer, but cannot internally quality assure their own assessments.

Learner entry requirements

City & Guilds does not set entry requirements for these qualifications. However, centres must ensure that candidates have the potential and opportunity to gain the qualifications successfully.

City & Guilds cannot accept any registrations for learners under 19, as this qualification is not approved for learners under 19.

3 Assessment

Summary of assessment methods

Candidates must:

- have a completed portfolio of evidence covering the assessment criteria for each mandatory unit
- successfully complete an assignment for the elective unit Professional Development and Ethics in Health and Safety Management for candidates wishing to gain IOSH Graduate membership.*

Available assessments/assignments

City & Guilds has written the following assessments to use with this qualification:

- assignment unit: 611 Professional development and ethics in health and safety management

Grading

This qualification is graded Pass/Fail.

* From 1 September 2022, IOSH Associate/ or Technical membership (A/T) will apply to this Level 5 qualification (3654-06). Further information is available in the Introduction section of this Qualification Handbook.

Assessment Types

Unit	Title	Assessment method
402	Develop and implement effective communication systems for health and safety information	Portfolio of Evidence
510	Promote a positive health and safety culture	Portfolio of Evidence Direct Observation
511	Develop and maintain individual and organisational competence in health and safety matters	Portfolio of Evidence
512	Control health and safety risks	Portfolio of Evidence Direct Observation
513	Develop, implement and review proactive monitoring systems for health and safety	Portfolio of Evidence
514	Develop, implement and review reactive monitoring systems for health and safety	Portfolio of Evidence
515	Develop and implement health and safety emergency response systems and procedures	Portfolio of Evidence
516	Develop and implement health and safety review systems	Portfolio of Evidence
517	Develop and implement a health and safety audit	Portfolio of Evidence Direct Observation
518	Behavioural safety in the workplace	Portfolio of Evidence Direct Observation
519	Influence improvements in health and safety practice	Portfolio of Evidence Direct Observation
520	Develop, implement and review the organisations health and safety strategy	Portfolio of Evidence
521	Contribute to health and safety legal actions	Portfolio of Evidence
522	Manage contractors to ensure compliance with health and safety	Portfolio of Evidence Direct Observation
523	Develop and implement the health and safety induction process	Portfolio of Evidence
610	Develop and implement the health and safety policy	Portfolio of Evidence
611	Professional development and ethics in health and safety management	City & Guilds assignment

Time constraints

The following must be applied to the assessment of this qualification:

- Candidates must finish their assessment within their registration period.

Assessment strategy

This qualification requires that assessment of the candidate's performance must be planned to take place within the workplace and that observation should be of naturally occurring practice within the candidate's work role. This will include demonstrating practical application of knowledge. Simulation is not allowed, unless otherwise stated.

City & Guilds have identified the following main assessment methods, which are suitable for this qualification

- direct observation of practice by a qualified assessor **must** be carried out for a minimum of one mandatory unit.
- expert witness - This cannot be the only method of observation but could be employed in extenuating circumstances where access to the assessment location is restricted; off shore situations, secure sites (Nuclear industry, MOD etc.)
- questioning the candidate or expert witness by an assessor.

Direct observation is defined as face-to-face observation. This is not to be carried out virtually or via video link.

In some situations, the assessor can conduct a professional discussion with the candidate to provide evidence of the candidate's performance and knowledge.

Evidence will:

- reflect how the candidate carried out the process
- be the product of a candidate's work
- be a product relating to the candidate's competence.

For example, the process that the candidate carries out could be recorded in an observation or expert witness testimony. It is the assessor's responsibility to make sure that the evidence a candidate submits for assessment meets the requirements of the qualification.

Expert witness

An expert witness is a person who holds the same occupational competence as an assessor and is in a position to observe activities in the workplace that under normal working conditions would be observed by the assessor.

The procedure for using an expert witness would be for the assessor and Expert witness to discuss and agree an assessment plan and the range and types of evidence required on which to base an assessment judgement. The Expert witness observes the assessment activity and collects all of the relevant supporting evidence/documentation and submits this to the assessor who makes the assessment judgement and provides feedback to the candidate.

The centre must maintain a register of all Expert witness's including contact details and evidence of their occupational competence and qualifications, which must be made available to the EQA when carrying out external quality assurance

This cannot be the only method of observation but could be employed in extenuating circumstances where access to the assessment location is restricted; off shore situations, secure sites (Nuclear industry, MOD etc.)

The product of a candidate’s work could be:

- risk assessments carried out by the candidate
- health and safety training devised and/or delivered by the candidate
- results of health and safety inspections conducted by the candidate
- results and findings of accident investigations carried out by the candidate.

These are examples of what a candidate may present; however, it is not a definitive list. The examples are not exhaustive.

The evidence that has been generated by the learners and overseen by the Expert witness will still be subjected to Assessment by the nominated assessor.

The expert witness will need to be available (in person or by phone) should the EQA require to speak to them during an EQA activity.

Recognition of prior learning (RPL)

Recognition of prior learning means using a person’s previous experience, or qualifications, which have already been achieved, to contribute to a new qualification.

For this qualification, RPL is allowed and is not sector specific.

If RPL is used then evidence of assessment planning and feedback will need to be documented and available for the EQA during sampling.

Assessment requirements

Candidates **must** achieve all units from the mandatory group. Candidates may choose to complete units from the elective group but are not a requirement to achieve the qualification.

Candidates **must** complete Unit 611 Professional development and ethics in health and safety management from the elective group to gain IOSH Graduate membership. ** Please note this assessment takes a minimum of 12 months to complete.

City & Guilds component number	Title
Mandatory Unit Group	
402	Develop and implement effective communication systems for health and safety information
510	Promote a positive health and safety culture
511	Develop and maintain individual and organisational competence in health and safety matters
512	Control health and safety risks
513	Develop and implement proactive monitoring systems for health and safety
514	Develop and implement reactive monitoring systems for health and safety

Mandatory Unit Group

515	Develop and implement health and safety emergency response systems and procedures
516	Develop and implement health and safety review systems
517	Develop and implement a health and safety audit
518	Behavioural safety in the workplace
610	Develop and implement the health and safety policy

Elective Unit Group

519	Influence improvements in health and safety practice
520	Develop, implement and review the organisations health and safety strategy
521	Contribute to health and safety legal actions
522	Manage contractors to ensure compliance with health and safety
523	Develop and implement the health and safety induction process
611	Professional development and ethics in health and safety management*

**This unit must be completed to gain IOSH graduate Membership recognition*

*** From 1 September 2022, IOSH Associate/ or Technical membership (A/T) will apply to this Level 5 qualification (3654-06). Further information is available in the Introduction section of this Qualification Handbook.*

4 Units

Structure of the units

These units each have the following:

- City & Guilds reference number
- Title
- Level
- Guided learning hours (GLH)
- Learning outcomes, which are comprised of a number of assessment criteria

Centres must deliver the full breadth of the range. Specialist equipment or commodities may not be available to all centres, so centres should ensure that their delivery covers their use. This may be covered by a practical demonstration (e.g. video). For the practical assessments for this qualification, centres should ensure that there are sufficient resources to complete the task but are not required to use all the equipment or commodities in the range.

Unit 402

Develop and implement effective communication systems for health and safety information

Unit level:	Level 4
GLH:	10
Unit aim:	<p>This unit enables learners to develop the skills and understanding required for:</p> <ul style="list-style-type: none">• evaluating health and safety information external to the organisation• communicating relevant health and safety information through an effective system within the organisation• ensuring that relevant health and safety information from their organisation is communicated to statutory and local authorities, relevant groups and individuals.
Relationship to NOS:	This unit is linked to HSP4 Develop and implement effective communication systems for health and safety information.
Endorsed by	This unit is endorsed by ProSkills, the Sector Skills Council for Health and Safety

Learning outcome

The learner will:

- 1 be able to evaluate health and safety information

Assessment criteria

The learner can:

- 1.1 identify and evaluate proposed and new health and safety legislation, codes of practice, standards relevant to the organisation
- 1.2 evaluate developments in health and safety relevant to the organisation
 - 1.2a risk assessment
 - 1.2b control procedures and practices
 - 1.2c technical developments
 - 1.2d best practice
- 1.3 keep records of all relevant health and safety information relating to organisational and regulatory procedures

Learning outcome

The learner will:

- 2 be able to develop and implement communication systems for health and safety information within the organisation

Assessment criteria

The learner can:

- 2.1 develop appropriate systems for communicating health and safety information relating to input procured by the organisation
 - 2.1a materials
 - 2.1b goods
 - 2.1c equipment
 - 2.1d services
 - 2.1e resources
- 2.2 develop and implement communication systems for health and safety information for:
 - 2.2a stakeholders
 - 2.2b other interested parties
 - 2.2c statutory bodies
- 2.3 ensure relevant health and safety information for products, services and waste is provided to the relevant people in the organisation
- 2.4 ensure the relevant health and safety standards and procedures for the organisation are provided to contractors
- 2.5 set up procedures to review and maintain communication systems to meet the needs of all levels in the organisation.

Learning outcome

The learner will:

- 3 understand the external factors influencing effective communication systems for health and safety information

Assessment criteria

The learner can:

- 3.1 explain the principles of effective communication including different methods of communication:
 - 3.1a formal and informal systems
 - 3.1b written
 - 3.1c verbal
 - 3.1d barriers to communication
- 3.2 explain external factors influencing health and safety risk assessment to include:
 - 3.2a control procedures and practices
 - 3.2b technical developments
 - 3.2c best practice

- 3.2d health and safety legislation
 - 3.2e codes of practice and standards
 - 3.3 describe the need for health and safety promotional activities within the organisation
 - 3.4 describe the health and safety reporting and information requirements for products, services and waste of an organisation
 - 3.5 describe the health and safety standards and procedures of an organisation that are relevant to contractors used by the organisation
-

Learning outcome

The learner will:

- 4 understand how to develop and implement effective communication systems for health and safety information

Assessment criteria

The learner can:

- 4.1 explain how to develop and implement effective communication systems for health and safety information
- 4.2 explain the principles and concepts of:
 - 4.2a written and verbal communication
 - 4.2b electronic information, retrieval, storage and communication systems
- 4.3 describe the external factors influencing communication systems for health and safety information, to include:
 - 4.3a health and safety risk assessment, control procedures and practices, technical developments and best practice
 - 4.3b proposed and new health and safety legislation, codes of practice and standards
 - 4.3c health and safety promotional activities relevant to the needs of an organisation
 - 4.3d health and safety statutory reporting requirements for an organisation
 - 4.3e health and safety statutory information requirements for the products, services and waste of an organisation
 - 4.3f Health and safety standards and procedures of an organisation that are relevant to the contractors used by the organisation.

Unit 402

Develop and implement effective communication systems for health and safety information

Supporting Information

Evidence requirements

Evidence must come from relevant sources internal and external to the organisation.

Unit 510

Promote a positive health and safety culture

Unit level:	Level 5
GLH:	13
Unit aim:	This unit enables the learner to develop skills and knowledge in: <ul style="list-style-type: none">• advocating, developing and communicating a positive health and safety culture for the organisation• working with key stakeholders in implementing a positive health and safety culture• maintaining a positive health and safety culture in the organisation by encouraging directors, senior, line, functional and technical managers and employee representatives to lead by example on health and safety matters.
Relationship to NOS:	This unit is linked to HSP2 Promote a positive health and safety culture.
Endorsed by	This unit is endorsed by ProSkills, the Sector Skills Council for Health and Safety.

Learning outcome

The learner will:

- 1 understand the nature and role of a positive health and safety culture within the organisation

Assessment criteria

The learner can:

- 1.1 describe the existing health and safety culture within the organisation
- 1.2 describe how people communicate within the organisation
- 1.3 explain how the organisation's communication system can be used to promote the benefits of a positive health and safety culture
- 1.4 identify the people and groups who may be affected by the health and safety process and what problems may arise
- 1.5 explain how to engage different individuals and groups in the health and safety process and the importance of keeping people informed and discussing their involvement
- 1.6 identify the information sources available for health and safety within the workplace
- 1.7 describe appropriate performance measures related to health and safety in the organisation
- 1.8 explain factors influencing a positive health and safety culture to inform the planning and decision-making process for the organisation:
 - 1.8a sources of information
 - 1.8b advice available on health and safety matters

Learning outcome

The learner will:

- 2 be able to obtain commitment to a positive health and safety culture in the organisation

Assessment criteria

The learner can:

- 2.1 provide sufficient and clear information to people in the organisation about the benefits of a positive health and safety culture
 - 2.2 obtain the support of those in the organisation who can promote a positive health and safety culture
 - 2.3 use opportunities to communicate information about a positive health and safety culture
 - 2.4 create new opportunities to communicate information about a positive health and safety culture
 - 2.5 evaluate current understanding and support for health and safety instructions and procedures by people in the workplace
-

Learning outcome

The learner will:

- 3 be able to develop links with appropriate people and groups on Health and Safety matters

Assessment criteria

The learner can:

- 3.1 identify the appropriate people and groups with whom to develop links on health and safety matters
 - 3.1a within the organisation
 - 3.1b external to the organisation
 - 3.2 use appropriate opportunities to develop and implement additional links with people and groups
-

Learning outcome

The learner will:

- 4 be able to develop plans to promote a health and safety culture in the workplace

Assessment criteria

The learner can:

- 4.1 develop plans to promote and implement a health and safety culture within the organisation
- 4.2 identify where improvements and changes are required and prepare an action plan with suitable performance measures and review dates, using current sources of information and observation of the underlying indicators of the health and safety culture
- 4.3 ensure the plans include promoting advantages and legal necessities of following health and safety procedures

- 4.4 provide support and guidance or advice to the appropriate people and groups
 - 4.5 check that relevant information, including local, national and legal guidelines and advice is provided at an appropriate time, level and rate of change
-

Learning outcome

The learner will:

- 5 be able to implement plans to promote a health and safety culture in the workplace

Assessment criteria

The learner can:

- 5.1 present SMART (specific, measurable, achievable, realistic, timebound) plans in a clear and concise manner to the appropriate people
- 5.2 implement plans to promote a health and safety culture in the workplace
- 5.3 provide practical opportunities for regular consultation on health and safety issues to include encouraging ideas, review opportunities for further improvements and identify best practice

Unit 511

Develop and maintain individual and organisational competence in health and safety matters

Unit level:	Level 5
GLH:	9
Unit aim:	<p>The aim of this unit is for learners to develop skills and knowledge in:</p> <ul style="list-style-type: none">• assessing the health and safety competence needs of their organisation• assessing the health and safety competence needs of individuals in their organisation• ensuring that the identified health and safety competence needs of their organisation are addressed by providing health and safety training.
Relationship to NOS:	This unit is linked to HSP5 Develop and maintain individual and organisational competence in health and safety matters.
Endorsed by	This unit is endorsed by ProSkills, the Sector Skills Council for Health and Safety.

Learning outcome

The learner will:

- 1 understand how to develop and maintain individual and organisational competence in health and safety matters within your organisation

Assessment criteria

The learner can:

- 1.1 explain the structure of the organisation to include:
 - 1.1a functions
 - 1.1b activities
 - 1.1c tasks
 - 1.1d jobs
- 1.2 explain the relationships between competencies, activity and task analysis
- 1.3 describe health and safety competency training needs analysis and the relationship between skills and qualifications
- 1.4 explain the importance of:
 - 1.4a training course design and delivery
 - 1.4b benefits and limitations of different methods of presentation
 - 1.4c course evaluation and validation to ensure objectives have been met

- 1.4d preparing, delivering and marking tests and assignments
 - 1.4e effective written and verbal communication
 - 1.4f systematic training
 - 1.4g different learning styles
 - 1.5 describe the external factors influencing individual and organisational competence in:
 - 1.5a health and safety statutory requirements and industry best practice
 - 1.5b the quality management requirements for documentation.
-

Learning outcome

The learner will:

- 2 be able to assess the health and safety competence needs of the organisation

Assessment criteria

The learner can:

- 2.1 conduct an analysis of the occupational safety and health competence requirements of the organisation in context of:
 - 2.1a functions
 - 2.1b activities
 - 2.1c tasks
 - 2.1d job roles of the organisation.
-

Learning outcome

The learner will:

- 3 be able to identify and meet health and safety training needs

Assessment criteria

The learner can:

- 3.1 identify the training needs of the organisation from the analysis.
- 3.2 design training courses to meet health and safety competence needs for given individuals and groups and within agreed constraints to include:
 - 3.2a budget
 - 3.2b timescales
 - 3.2c staff availability
- 3.3 deliver suitable training to meet the health and safety needs of individuals and groups in the organisation
- 3.4 monitor the effectiveness of training by ensuring identified needs are met; and developing appropriate actions plans where needs have not been met
- 3.5 communicate findings to the company training function or other key personnel as relevant to your organisation

Unit 511

Develop and maintain individual and organisational competence in health and safety matters

Supporting Information

Evidence requirements

The learner must produce evidence to demonstrate that all those in their organisation have the required competencies for health and safety relevant to their job role. This will be at differing levels of knowledge and understanding. Training and information written or commissioned by the learner will be communicated formally and informally to reflect this.

Unit 512

Control health and safety risks

Unit level:	Level 5
GLH:	10
Unit aim:	The aim of this unit is for learners to develop skills and knowledge in managing and implementing the risk assessment process for their organisation.
Relationship to NOS:	This unit is linked to HSP6 Identify, assess and control health and safety risks.
Endorsed by	This unit is endorsed by ProSkills, the Sector Skills Council for Health and Safety.

Learning outcome

The learner will:

- 1 be able to identify and evaluate hazards to health and safety in the workplace

Assessment criteria

The learner can:

- 1.1 inspect the workplace and prioritise areas where hazards with a potential for serious harm to health and safety are most likely to occur
- 1.2 evaluate hazards through a review of work activities
- 1.3 examine proposed activities to identify and evaluate hazards in existing and new:
 - 1.3a workplaces
 - 1.3b equipment
 - 1.3c processes
 - 1.3d activities
- 1.4 select and use appropriate measuring equipment to evaluate the hazards
- 1.5 maintain records of the hazards identified in sufficient detail to meet the requirements of:
 - 1.5a statutory
 - 1.5b organisational
 - 1.5c industry best practice.

Learning outcome

The learner will:

- 2 be able to assess risks to health and safety

Assessment criteria

The learner can:

- 2.1 select appropriate risk assessment techniques to assess the hazards identified
 - 2.2 select and use appropriate methods to determine the level of exposure affecting:
 - 2.2a employees
 - 2.2b others who may be affected
 - 2.3 determine risks to health and safety of:
 - 2.3a employees
 - 2.3b others who may be affected
 - 2.4 prioritise the health and safety risks to:
 - 2.4a employees
 - 2.4b others who may be affected
 - 2.5 maintain records of the risk assessment in sufficient detail to meet:
 - 2.5a statutory requirements
 - 2.5b organisational requirements
 - 2.5c industry best practice.
 - 2.6 evaluate the existing risk control measures and current systems of work in the organisation
 - 2.7 ensure the training provides the required competences to implement the identified risk control measures
 - 2.8 recognise your own limits and where necessary bring in specialist or other assistance
-

Learning outcome

The learner will:

- 3 be able to implement risk control measures and safe systems of work in the organisation

Assessment criteria

The learner can:

- 3.1 identify and recommend any additional or improved risk control measures that may be needed to implement the risk control measures needed
- 3.2 identify the resources required to implement the risk control measures needed
- 3.3 calculate the cost-effectiveness of the risk control measures needed
- 3.4 consult with stakeholders, managers, employee representatives and employees about risk controls needed
- 3.5 plan and assist the implementation of risk control measures in order of priority
- 3.6 maintain records of the control measures in sufficient detail to meet:
 - 3.6a statutory requirements
 - 3.6b organisational requirements
 - 3.6c industry best practice.
- 3.7 ensure processes for proactively monitoring risk control measures are in place to review effectiveness of the measures taken at appropriate intervals

Learning outcome

The learner will:

- 4 understand how to identify, assess and control health and safety risks

Assessment criteria

The learner can:

- 4.1 explain methods of identifying health and safety hazards within the organisation, including:
 - 4.1a risk assessment
 - 4.1b physical resources
 - 4.1c instruments and surveys, which may be used to determine the level of exposure to people who may be affected
- 4.2 explain principles of the analysis methods for determining risks and methods for reviewing effectiveness
- 4.3 describe external factors influencing the identification of health and safety hazards, including:
 - 4.3a health and safety statutory requirements
 - 4.3b tolerability/acceptability of risk
 - 4.3c quality management requirements for documentation
- 4.4 explain the nature and role of health and safety risk control measures within the organisation
- 4.5 describe the risk control measures required by relevant health and safety legislation and industry best practice, including safe systems of work
- 4.6 describe external factors influencing health and safety risk control methods
- 4.7 explain risk control hierarchies.

Supporting Information

Evidence requirements

The learner must provide evidence that they use various ways to identify health and safety hazards in their workplace eg walkabout, formal and informal inspection, observation and interview etc.

- Sufficient a number of risk assessments must be undertaken to cover the requirements of learning outcome 1 and must be of sufficient complexity to satisfy the outcome requirements of outcome 2.
- They must explain how they have evaluated the potential to cause harm, criteria and measurements they need to consider and what records are kept.
- They must provide a detailed risk assessment analysis, and explain why the appropriate risk assessment techniques were used.
- They must explain the necessity of the proposed improved control systems.
- They must explain qualitative and quantitative analysis techniques.
- They must explain the value or relevance in prioritising risk.
- Records of identifying and evaluating hazards must be maintained and retained which include discussions with appropriate people at all levels, both internal and external.
- Review and update of risk assessments.
- Identify the gaps between current and proposed risk control measures.
- The learner may be observed by the assessor or someone that is occupationally competent when conducting the audit in the organisation.

Unit 513

Develop and implement proactive monitoring systems for health and safety

Unit level:	Level 5
GLH:	8
Unit aim:	This unit enables the learner to develop and implement health and safety proactive performance monitoring systems and review and respond to health and safety proactive performance monitoring outcomes.
Relationship to NOS:	This unit is linked to HSP7 Develop and implement proactive monitoring systems for health and safety.
Endorsed by	This unit is endorsed by ProSkills, the Sector Skills Council for Health and Safety.

Learning outcome

The learner will:

- 1 understand how to develop and implement proactive monitoring systems for health and safety

Assessment criteria

The learner can:

- 1.1 describe the nature and role of active health and safety monitoring systems within the organisation
- 1.2 present rationales for proactive monitoring systems for health and safety
- 1.3 describe the whole range of monitoring equipment
- 1.4 explain the need for sampling routines
- 1.5 explain the procedure for workplace inspections and activity observations
- 1.6 explain the principles of effective written and verbal communication
- 1.7 explain how to respond to the health and safety needs of others
- 1.8 describe external factors influencing active health and safety monitoring systems
 - 1.8a health and safety statutory requirements and industry best practice for proactive monitoring systems and documentation
 - 1.8b quality management requirements for documentation.

Learning outcome

The learner will:

- 2 be able to devise inspection and monitoring systems for proactive performance monitoring for health and safety

Assessment criteria

The learner can:

- 2.1 develop workplace inspection and monitoring systems and procedures to include:
 - 2.1a methodology
 - 2.1b frequency
 - 2.1c compliance with health and safety regulations
 - 2.1d organisational requirements
 - 2.1e environment
 - 2.2 assess the skills of the people who will carry out the inspection and monitoring in the organisation and ensure they are competent
 - 2.3 plan with others the implementation of inspection and monitoring systems in the organisation. (This may include environmental monitoring and health surveillance where appropriate.)
 - 2.4 identify relevant monitoring equipment that may be required
 - 2.5 review health and safety statutory records and records initiated by the organisation for proactive performance monitoring
 - 2.6 analyse all internal documentation and records to ensure proactive monitoring is appropriately managed
 - 2.7 involve relevant stakeholders in health and safety proactive monitoring systems and procedures
 - 2.8 ensure compliance with the organisation's procedures against legislation and technical standards
 - 2.9 maintain appropriate records of health and safety proactive monitoring systems and outcomes.
-

Learning outcome

The learner will:

- 3 be able to keep stakeholders informed of health and safety proactive performance monitoring outcomes

Assessment criteria

The learner can:

- 3.1 provide written and verbal reports to inform stakeholders (directors, senior, line, functional and technical managers, employee representatives, employees, contractors and visitors) of the outcomes of health and safety proactive performance monitoring of the organisation
- 3.2 explain to non-specialist audience the outcomes of health and safety proactive performance monitoring of the organisation
- 3.3 propose recommendations based on the outcomes of health and safety proactive performance monitoring of the organisation
- 3.4 respond to the requirements of the regulatory authorities in respect of the outcomes of health and safety proactive performance monitoring of the organisation.

Unit 513

Develop and implement proactive monitoring systems for health and safety

Supporting Information

Evidence requirements

The learners must identify where changes need to be made by researching information from:

- workplace data
- policies
- risk assessments
- reviews
- minutes of meetings
- incident reports
- any other source including those externally generated to form the basis of proactive monitoring

The learner must consider workplace environments and the impact of changing environmental conditions.

Unit 514

Develop and implement reactive monitoring systems for health and safety

Unit level:	Level 5
GLH:	13
Unit aim:	This unit involves: <ul style="list-style-type: none">• developing and implementing health and safety reactive performance (loss event) monitoring systems• developing and implementing loss event investigation systems and procedures * investigating loss events• reviewing and responding to health and safety reactive performance monitoring outcomes.
Relationship to NOS:	This unit is linked to HSP8 Develop and implement reactive monitoring systems for health and safety.
Endorsed by	This unit is endorsed by ProSkills, the Sector Skills Council for Health and Safety.

Learning outcome

The learner will:

- 1 understand how to develop and implement reactive monitoring systems for health and safety

Assessment criteria

The learner can:

- 1.1 explain the nature and role of reactive health and safety monitoring systems within the organisation
- 1.2 explain health and safety loss events that require formal investigation in relation to:
 - 1.2a types
 - 1.2b causes
 - 1.2c impacts
 - 1.2d systems and procedures.
- 1.3 describe reporting and recording procedures for health and safety loss events
- 1.4 describe principles of
 - 1.4a fault-tree analysis
 - 1.4b events and causal factors analysis
 - 1.4c effective written and verbal communication
 - 1.4d how to respond to the needs of others
 - 1.4e statistical and epidemiological analyses of data, including the use of the Normal and Poisson distribution
 - 1.f histograms, pie charts and line graphs

- 1.5 describe external factors and health and safety requirements influencing reactive health and safety monitoring systems and investigations
-

Learning outcome

The learner will:

- 2 be able to develop a health and safety loss event reporting and recording system

Assessment criteria

The learner can:

- 2.1 identify health and safety loss events
 - 2.2 develop the health and safety loss event reporting and recording procedure
 - 2.3 devise health and safety loss event reporting forms where required
 - 2.4 plan and assist in the implementation of the health and safety loss event reporting and recording procedure
 - 2.5 maintain records of the health and safety loss event
 - 2.6 develop a system to report health and safety loss events to the regulatory authorities and ensure they are reported to key stakeholders
-

Learning outcome

The learner will:

- 3 be able to implement health and safety loss event investigation systems and procedures

Assessment criteria

The learner can:

- 3.1 identify which health and safety loss events require a formal investigation
- 3.2 develop health and safety loss event investigation systems and procedures
- 3.3 implement health and safety loss event investigation systems and procedures
- 3.4 facilitate health and safety loss investigation
- 3.5 advise directors, senior, line, functional and technical managers, employee representatives and employees:
 - 3.5a about the risk assessments that need to be reviewed in the light of health and safety loss event investigations
 - 3.5b about the possible breaches of statutory and common law requirements following health and safety loss event investigations
- 3.6 manage the implementation of recommendations arising from health and safety loss event investigations
- 3.7 keep records of health and safety investigations.

Learning outcome

The learner will:

- 4 be able to conduct statistical and epidemiological analyses

Assessment criteria

The learner can:

- 4.1 carry out statistical and epidemiological analyses of the health and safety loss event data in the organisation in order to:
 - 4.1a present in numerical and graphical formats
 - 4.1b interpret statistical and epidemiological analyses
 - 4.1c present to directors, senior, line, functional and technical managers, employee representatives and employees in a meaningful way
- 4.2 keep records of health and safety loss event statistical and epidemiological analyses.

Learning outcome

The learner will:

- 5 be able to maintain communication with stakeholders of health and safety reactive performance monitoring outcomes

Assessment criteria

The learner can:

- 5.1 inform stakeholders (directors, senior, line, functional and technical managers, employee representatives, employees, contractors and visitors) of the outcomes of health and safety reactive performance monitoring
- 5.2 prepare written and verbal reports of the outcomes of health and safety reactive performance monitoring
- 5.3 interpret to a lay audience the outcomes of health and safety reactive performance monitoring
- 5.4 make appropriate recommendations based on the outcomes of reactive performance monitoring
- 5.5 comply with the requirements of the regulatory authorities in respect of the outcomes of health and safety reactive performance monitoring.

Unit 514

Develop and implement reactive monitoring systems for health and safety

Supporting Information

Evidence requirements

The learner will demonstrate competence in developing and implementing reactive monitoring systems and recommending actions to improve health and safety performance.

The reporting system the learner produces must be understandable and accessible by everyone at all levels in the organisation. Everyone should be able to report any loss event or incident within a no-blame culture encouraging two-way information processes.

The learner must carry out the investigations, which should be impartial and conducted in a way that is sympathetic and focuses on the facts without any assumptions.

The learner must demonstrate well developed interview, training and communication skills to enable them to inform people at all levels in the organisation of the monitoring outcomes and present to interested parties.

Unit 515

Develop and implement health and safety emergency response systems and procedures

Unit level:	Level 5
GLH:	8
Unit aim:	This unit enables the learner to develop skills and knowledge in planning and implementing emergency response systems and procedures and communicating emergency response information.
Relationship to NOS:	This unit is linked to HSP10 Develop and implement health and safety emergency response systems and procedures.
Endorsed by	This unit is endorsed by ProSkills, the Sector Skills Council for Health and Safety.

Learning outcome

The learner will:

- 1 be able to develop health and safety emergency plan procedures.

Assessment criteria

The learner can:

- 1.1 develop and implement emergency preparedness for the organisation (including where necessary both on and off site)
- 1.2 ensure links are in place with external services for emergency medical care and rescue work
- 1.3 ensure the organisation has suitable:
 - 1.3a first aid provision
 - 1.3b adequate medical provision
 - 1.3c firefighting provision,
- 1.4 ensure that there are the necessary processes in first aid and firefighting in the organisation
- 1.5 involve relevant stakeholders in the production of emergency plans
- 1.6 identify the potential areas and sources of emergency in your organisation, on site and off site, and develop health and safety emergency response plans for the organisation, taking into account:
 - 1.6a health and safety statutory requirements with respect to the control of an emergency
 - 1.6b methods of effective communication both on-site and off-site
 - 1.6c dealing with both on-site and off-site emergencies
 - 1.6d dealing with the ongoing consequences of fatalities

- 1.6e injury accidents
 - 1.6f dangerous occurrences
 - 1.6g fires and explosions
 - 1.6h toxic releases
 - 1.6i major disasters
 - 1.6j environmental impact
 - 1.6k rescue and security alerts
 - 1.7 keep adequate records of the health and safety emergency response procedures of the organisation
 - 1.8 prepare and plan to respond to the requests of the regulatory and local authorities, the emergency services, other authorities, the media and other interested parties regarding an emergency in the organisation
-

Learning outcome

The learner will:

- 2 be able to implement procedures for the control of a health and safety emergency

Assessment criteria

The learner can:

- 2.1 develop and implement on and off-site emergency procedure/s, for the organisation
 - 2.1a ensure that sufficient facilities, material and equipment, resources and personnel, including communication equipment, are available to deal with the control of an emergency in your organisation
 - 2.1b detail, in the procedures dealing with the control of an emergency, the competencies required
- 2.2 establish effective liaison with the appropriate emergency services and the regulatory and local authorities
- 2.3 respond to the requests of the regulatory and local authorities and where necessary, the requests of the media and other interested parties
- 2.4 test the suitability of the emergency plans
- 2.5 monitor, review and update the emergency plans taking into account changes in the organisation or key external factors
- 2.6 maintain records of the procedures/changes for the control of a health and safety emergency in the organisation.

Learning outcome

The learner will:

- 3 understand how to develop and implement health and safety emergency response systems and procedures

Assessment criteria

The learner can:

- 3.1 explain the potential causes of emergencies including natural and man-made, both accidental and deliberate
- 3.2 explain the organisation's emergency response plan taking into account:
 - 3.2a relevant health and safety statutory requirements
 - 3.2b dealing with on-going effects of fatalities
 - 3.2c injury accidents
 - 3.2d dangerous occurrences
 - 3.2e fire and explosion
 - 3.2f toxic release
 - 3.2g major disaster
 - 3.2h environmental impact
 - 3.2i rescue and security alert
- 3.3 describe the organisation's simulated emergency response procedures
- 3.4 describe the principles of press releases and media management
- 3.5 explain the external factors influencing health and safety emergency plan requirements for:
 - 3.5a emergency response procedures
 - 3.5b first aid and medical service provision
 - 3.5c fire precautions
 - 3.5d major disasters
 - 3.5e ionising radiation incidents
 - 3.5f environmental impact events
 - 3.5g the control of an emergency

Unit 515

Develop and implement health and safety emergency response systems and procedures

Supporting Information

Evidence requirements

The learner must be able to provide evidence that emergency equipment is regularly maintained and tested and emergency response drills conducted, evaluated and improvements made as a result.

The learner must be able to identify all relevant local emergency services, authorities and statutory reporting requirements in order to ensure that response to any particular emergency in their organisation is received in the shortest possible time.

The learner must be able to evidence that they have informed all relevant emergency services of issues that may affect them including deliberate actions that may be taken against the organisation.

Unit 516

Develop and implement health and safety review systems

Unit level:	Level 5
GLH:	8
Unit aim:	This involves investigating the efficiency and cost-effectiveness of health and safety management systems and developing and implementing changes to improve efficiency and cost effectiveness.
Relationship to NOS:	This unit is linked to HSP11 Develop and implement health and safety review systems.
Endorsed by	This unit is endorsed by ProSkills, the Sector Skills Council for Health and Safety.

Learning outcome

The learner will:

- 1 be able to evaluate the efficiency and cost effectiveness of health and safety management systems and ensure that each part of the health and safety system is working as required

Assessment criteria

The learner can:

- 1.1 identify each part of the health and safety management system
- 1.2 determine the factors and features that are essential for the effective working of each part of the health and safety management system
- 1.3 review the frequency of each part of the health and safety management system
- 1.4 advise relevant stakeholders (directors, senior, line, functional and technical managers) of any improvements required to the efficient and cost-effective working of each part of the health and safety management system
- 1.5 plan the implementation of changes to each part of the health and safety management system and set targets which are SMART (specific, measurable, achievable, relevant and timely)
- 1.6 maintain records of the review of each part of the health and safety management system.

Learning outcome

The learner will:

- 2 be able to confirm that the health and safety system as a whole is working to meet the needs of the organisation

Assessment criteria

The learner can:

- 2.1 evaluate the efficiency and cost-effectiveness of health and safety management systems within your organisation taking into account:
 - 2.1a electronic and paper record systems
 - 2.1b how to respond to the health and safety needs of others
 - 2.1c health and safety statutory requirements
 - 2.1d industry best practice
 - 2.1e quality requirements for documentation
- 2.2 identify any changes required to improve the efficient and cost-effective working of the health and safety management system as a whole
- 2.3 advise the relevant stakeholders/management of the changes identified at 2.2
- 2.4 plan and implement the necessary changes to the health and safety management system

Learning outcome

The learner will:

- 3 Understand the nature and role of health and safety systems within the organisation

Assessment criteria

The learner can:

- 3.1 explain how to set SMART targets (specific, measurable, achievable, relevant and timely)
- 3.2 summarise the health and safety management systems
- 3.3 explain the factors and features that are essential for the efficient and cost effective working of a health and safety management system
- 3.4 explain how to assess the efficiency and cost effectiveness of a health and safety management system
- 3.5 describe requirements of:
 - 3.5a electronic and paper record systems
 - 3.5b how to respond to the health and safety needs of others
 - 3.5c health and safety statutory requirements
 - 3.5d industry best practice
 - 3.5e quality requirements for documentation.

Unit 517

Develop and implement a health and safety audit

Unit level:	Level 5
GLH:	11
Unit aim:	This unit is for managers with a role which involves preparing and implementing health and safety audit systems. Evaluating compliance of the health and safety management systems with the operational, technical, procedures and performance standards specified by management and recommend improvements as appropriate.
Relationship to NOS:	This unit is linked to HSP9 - Develop and implement a health and safety audit.
Endorsed by	This unit is endorsed by ProSkills, the Sector Skills Council for Health and Safety.

Learning outcome

The learner will:

- 1 understand the nature and role of the health and safety audit systems within the organisation

Assessment criteria

The learner can:

- 1.1 describe health and safety management systems
- 1.2 describe health and safety management, operational and technical standards and procedures
- 1.3 explain the requirement and purpose of health and safety audit questionnaires
- 1.4 explain what is required for health and safety documentation in the organisation
- 1.5 explain the nature and scope of audits
- 1.6 explain how an audit system can be reviewed
- 1.7 explain the advantages and disadvantages of in-house and bought-in audits
- 1.8 identify the competency requirements of auditors and companies offering an audit
- 1.9 describe methods of effective written communication in the audit process
- 1.10 describe the external factors influencing:
 - 1.10a the health and safety requirements of the organisation
 - 1.10b industry best practice
 - 1.10c quality management requirements for the audit and other documentation

Learning outcome

The learner will:

- 2 be able to prepare to audit the health and safety management system

Assessment criteria

The learner can:

- 2.1 determine health and safety audits in the organisation to include:
 - 2.1a purpose
 - 2.1b objective
 - 2.1c scope
 - 2.1d frequency
- 2.2 identify aspects for the health and safety audit in the organisation including:
 - 2.2a operational standards
 - 2.2b technical standards
 - 2.2c procedures
 - 2.2d performances
- 2.3 identify the health and safety statutory requirements relevant to the scope of the audit
- 2.4 identify a competent auditor (internal or external) and a suitable audit tool
- 2.5 agree the audit programme and reporting procedures with the relevant stakeholders

Learning outcome

The learner will:

- 3 be able to carry out a health and safety audit in accordance with the agreed specification

Assessment criteria

The learner can:

- 3.1 carry out an audit of the organisation in accordance with the agreed specification
- 3.2 evaluate the health and safety documentation of the organisation
- 3.3 carry out physical inspections and behavioural observations in the organisation
- 3.4 modify the audit programme to meet unexpected situations and requirements
- 3.5 keep records of the health and safety audits

Learning outcome

The learner will:

- 4 be able to make recommendations based on the results of the health and safety audit

Assessment criteria

The learner can:

- 4.1 prepare written health and safety audit reports for the organisation and where necessary quantify the results of the audit
- 4.2 make recommendations (if identified) to improve the health and safety performance of the organisation, ensuring a realistic implementation programme and timescale
- 4.3 present audit reports to senior managers and stakeholders in accordance with organisational procedures
- 4.4 advocate acceptance of the recommendations to improve the health and safety performance in the organisation

Unit 517

Develop and implement a health and safety audit

Supporting Information

Evidence requirements

For this unit the learner must carry out an audit of the health and safety systems and processes in accordance with the agreed specification.

They must record the findings of the audit and prepare a written report containing the results of the audit and any recommendations for change/improvement. They must also present the report to senior management/stakeholders and advocate the changes/improvements

The learner may be observed by the assessor or someone that is occupationally competent when conducting the audit in the organisation.

Unit 518

Behavioural safety in the workplace

Unit level:	Level 5
GLH:	11
Unit aim:	This is aimed at anyone working in an organisation with a mature health and safety management system, wishing to implement a behavioural safety programme in the workplace.
Relationship to NOS:	This unit is linked to HSP14 Develop and implement health and safety review systems.
Endorsed by	This unit is endorsed by ProSkills, the Sector Skills Council for Health and Safety.

Learning outcome

The learner will:

- 1 understand the concepts of workplace behaviour

Assessment criteria

The learner can:

- 1.1 explain what is meant by safety culture and behavioural safety
- 1.2 explain the principles underlying the behavioural safety process
- 1.3 explain the methods of influencing behaviour across an organisation
- 1.4 describe safe and unsafe behaviours and when to implement a behavioural safety programme and benefits from the programme
- 1.5 explain aspects of human factors linked to behavioural safety and what the evidence is that a behaviour change will improve safety
- 1.6 assess the strengths and weaknesses of the programme

Learning outcome

The learner will:

- 2 be able to evaluate the current behaviours and attitudes in relation to health and safety in the workplace

Assessment criteria

The learner can:

- 2.1 evaluate the current behaviours and attitudes to evidence where improvements can be made to the organisation's health and safety management and culture
- 2.2 identify areas for potential improvement and develop recommendations
- 2.3 gain approval to implement an improvement programme.

Learning outcome

The learner will:

- 3 be able to plan for the improvement of behaviour and attitudes in the workplace

Assessment criteria

The learner can:

- 3.1 develop suitable programmes to address behavioural and attitudinal issues within the workplace
- 3.2 consult relevant stakeholders and agree the principles and purpose of the programme with management
- 3.3 develop a plan of action to implement the behavioural safety programme and set realistic (SMART) targets

Learning outcome

The learner will:

- 4 be able to implement the behavioural change plan

Assessment criteria

The learner can:

- 4.1 ensure workforce are aware of the proposed behavioural changes
- 4.2 implement the behavioural safety action plan within the organisation
- 4.3 develop safety leadership checklists in accordance with the plan and monitor employee's behaviour against the plan
- 4.4 identify issues relating to implementing the behavioural safety plan, report the issues and take corrective action

Unit 518

Behavioural safety in the workplace

Supporting Information

Evidence requirements

Learners must identify behavioural traits in the organisation, and develop and implement policies to ensure that the behaviour and attitudes in the workplace enhances health and safety.

The learner may be observed by the assessor or someone that is occupationally competent when conducting the audit in the organisation.

Unit 519

Influence improvements in health and safety practice

Unit level:	Level 5
GLH:	11
Unit aim:	This unit involves: <ul style="list-style-type: none">• keeping up to date with new health and safety legislation and best practice• reading and responding to health and safety literature in print and electronic form• attending relevant health and safety groups and committees both internal and external• influencing professional colleagues and others on health and safety matters.
Relationship to NOS:	This unit is linked to HSP13 Influence and keep pace with improvements in health and safety practice.
Endorsed by	This unit is endorsed by ProSkills, the Sector Skills Council for Health and Safety.

Learning outcome

The learner will:

- 1 be able to identify new developments in health and safety

Assessment criteria

The learner can:

- 1.1 identify sources of information and advice on the latest developments in health and safety
- 1.2 evaluate the impact on the organisation of developments in health and safety legislation, policies and practices
- 1.3 advocate the adoption in the organisation of new developments in health and safety matters
- 1.4 contribute to professional technical groups to enhance the development of health and safety
- 1.5 maintain own continuous professional development in health and safety.

Learning outcome

The learner will:

- 2 be able to influence professional colleagues on health and safety matters

Assessment criteria

The learner can:

- 2.1 identify opportunities to participate in professional discussions and reviews on best practice in health and safety matters
 - 2.2 contribute to groups and committees engaged in developing health and safety practice
 - 2.3 influence the policies and practices of professional organisations and groups on health and safety matters
 - 2.4 exchange health and safety best practice with colleagues through meetings, publications, conferences and other appropriate methods
-

Learning outcome

The learner will:

- 3 understand how to maintain knowledge of improvements in health and safety practice within the organisation

Assessment criteria

The learner can:

- 3.1 explain the nature and role of improvements in health and safety practice within the organisation and how they can impact on the business
- 3.2 explain the relevance of the sources of information and advice on health and safety matters
- 3.3 explain the relevance of principles of:
 - 3.3a effective written and verbal communication
 - 3.3b electronic means of communication
- 3.4 explain the relevance of external factors influencing improvements in health and safety practice:
 - 3.4a professional, non-professional and technical groups
 - 3.4b professional organisations.
- 3.5 explain the level of statutory duties and interpretation of 'so far as is reasonably practicable' when considering improvements to health and safety

Unit 520

Develop, implement and review the organisational health and safety strategy

Unit level:	Level 6
GLH:	20
Unit aim:	This unit is for senior managers with a role that involves establishing, implementing and/or reviewing an organisation's health and safety strategy.
Relationship to NOS:	This unit is linked to HSP1 Develop and implement and review the organisations health and safety strategy.
Endorsed by	This unit is endorsed by ProSkills, the Sector Skills Council for Health and Safety.

Learning outcome

The learner will:

- 1 understand the nature and role of change on identifying health and safety hazards within the organisation

Assessment criteria

The learner can:

- 1.1 explain the purpose of having a change strategy
- 1.2 explain the internal factors, including organisational structures, strategies and human and physical resources available
- 1.3 explain the key change factors impacting on the organisation
- 1.4 explain the key drivers of the internal structure, internal opportunities and rigidities
- 1.5 explain how to influence the organisation's strategies, policies and practices
- 1.6 explain how to evaluate the organisation's business plan in relation to health and safety

Learning outcome

The learner will:

- 2 understand principles and concepts of change

Assessment criteria

The learner can:

- 2.1 describe how to obtain the appropriate information from:
 - 2.1a Organisational performance data
 - 2.1b information networks and sources
 - 2.1c external environment
- 2.2 describe theories of motivation and change methodologies, including the change cycle, relevant to the change process
- 2.3 explain how to assess the impact of proposed changes on the organisation's resources
- 2.4 explain how to use appropriate and effective communication processes to present the change strategy, encouraging feedback and encouraging participation in the change process
- 2.5 explain how to assess the impact of change in the organisation, monitor, manage and resolve conflict and adopt acceptable forms of compromise to maintain the integrity of the change process

Learning outcome

The learner will:

- 3 be able to prepare a health and safety strategy for the organisation

Assessment criteria

The learner can:

- 3.1 inform and support the organisation of the need to develop the Health and safety strategy
- 3.2 select and use appropriate and cost effective ways of gathering information to;
 - 3.2a identify and respond to internal factors likely to have an impact on the organisation's health and safety strategy, to include organisation structures, strategies, business plans, and other key drivers
 - 3.2b research and identify the key change factors impacting on the organisation
- 3.3 agree desired outcomes and priorities with relevant stakeholders in your organisation

Learning outcome

The learner will:

- 4 be able to identify internal and external factors which have an impact on health and safety in the organisation

Assessment criteria

The learner can:

- 4.1 assess the impact of the key drivers of the current internal structure, internal opportunities and rigidities on the organisation.
 - 4.2 obtain robust information for each relevant internal and external factor)
 - 4.3 identify trends and potential future developments for the internal and external factors reviewed
 - 4.4 establish the potential impact of internal and external factors on the organisation's strategies
 - 4.5 evaluate the organisation's business plan in relation to health and safety requirements
 - 4.6 validate the information gathered with relevant stakeholders
-

Learning outcome

The learner will:

- 5 be able to identify and plan an appropriate change process for health and safety strategy

Assessment criteria

The learner can:

- 5.1 establish potential changes needed to organisational strategies in relation to the issues identified
- 5.2 review internal organisational structures and resources against any proposed changes taking into consideration:
 - 5.2a opportunities
 - 5.2b obstacles
- 5.3 develop processes for maximizing opportunities and minimizing obstacles to the change process proposed
- 5.4 assess the potential impact of the proposed changes on organisational resources and structures
- 5.5 involve the relevant stakeholders in the assessment of proposed changes and gain their commitment

Unit 520

Develop, implement and review the organisational health and safety strategy

Supporting Information

Evidence requirements

Learners must demonstrate that they have assessed and responded to the external factors impacting on the strategy and process. This must include PESTLE and SWOT analysis and relevant health and safety legalisation and other legal decisions for example case law and technical developments.

Learners must also evaluate and validate all internal and external information gathered and assess its impact upon the organisation's business plan having benchmarked against current best practice.

The learner must review the health and change strategy and ensure robust systems are in place to support the changes.

Unit 521

Contribute to health and safety legal actions

Unit level:	Level 5
GLH:	3
Unit aim:	This involves reviewing health and safety loss event investigation reports from a legal point of view, identifying possible breaches of statutory and common law requirements and suggesting probable legal defences.
Relationship to NOS:	This unit is linked to HSP12 Contribute to health and safety legal actions
Endorsed by	This unit is endorsed by ProSkills, the Sector Skills Council for Health and Safety.

Learning outcome

The learner will:

- 1 be able to contribute to the defence of a health and safety criminal action

Assessment criteria

The learner can:

- 1.1 provide organisational support or response to any criminal action undertaken against the organisation
- 1.2 advise relevant stakeholders in the organisation on the actions required if/when an enforcement/prohibition notice is received
- 1.3 advise the relevant stakeholders on the extent of criminal liability in health and safety
- 1.4 prepare a case briefing for the relevant stakeholders in the organisation
- 1.5 prepare and provide suitable organisational support to legal agents engaged to represent the organisation

Learning outcome

The learner will:

- 2 be able to contribute to a health and safety civil action

Assessment criteria

The learner can:

- 2.1 provide organisational support or response to any civil action taken against the organisation
 - 2.2 review a health and safety loss event investigation report considering potential civil liability
 - 2.3 advise claimant or defendant, of the extent of the civil liability and possible defences
 - 2.4 ensure civil claims procedure is carried out within the specified procedures and timeframe
-

Learning outcome

The learner will:

- 3 understand the nature and role of any health and safety legal actions within the organisation

Assessment criteria

The learner can:

- 3.1 explain the impact and requirements of an organisation when subjected to health and safety criminal legislative measures
 - 3.2 explain the mitigating circumstances and/or defences that can be applicable in a health and safety criminal or civil case
-

Learning outcome

The learner will:

- 4 understand external factors influencing health and safety legal actions

Assessment criteria

The learner can:

- 4.1 describe the criminal court and civil court and claim procedures
- 4.2 outline the procedure when:
 - 4.2a using an expert witness at a criminal court
 - 4.2b using an expert witness at a civil court
- 4.3 describe the differences between criminal liability and civil negligence
- 4.4 describe the breaches of statutory duty and any defences to an action or a claim

Unit 521

Contribute to health and safety legal actions

Supporting Information

Evidence requirements

This unit can be assessed through simulation.

Unit 522

Manage contractors to ensure compliance with health and safety

Unit level:	Level 5
GLH:	5
Unit aim:	This unit is for managers who are responsible for management or supervision of contractors in the workplace
Relationship to NOS:	This unit is linked to HSP15 Develop and implement a health and safety audit.
Endorsed by	This unit is endorsed by ProSkills, the Sector Skills Council for Health and Safety.

Learning outcome

The learner will:

- 1 be able to manage contractors to ensure compliance with health and safety in the workplace

Assessment criteria

The learner can:

- 1.1 check relevant documentation for currency and approval to work on site has been issued/received, including:
 - 1.1a approvals for different types of contractor activities
 - 1.1b approvals are granted by the appropriate persons
- 1.2 ensure induction process for contractors is carried out to include:
 - 1.2a procedures for access/egress and security (consideration made for turnover of workers)
 - 1.2b procedures to be followed in the event of an emergency
 - 1.2c procedures for dealing with problems
 - 1.2d safety checks to ensure premises and equipment are left safe and secure during and after use
 - 1.2e the expected standards in terms of contractor welfare facilities
 - 1.2f adherence to the organisation's health and safety procedures
- 1.3 provide and monitor access/egress to premises and facilities for approved contractors
- 1.4 monitor contractor activities to ensure compliance with safe working practices commensurate with the level of risk to the contractor and the effects of their working on others
- 1.5 follow approved organisational procedures for dealing with any problems that arise during the use of the organisation's premises and facilities by the contractors

Learning outcome

The learner will:

- 2 understand how to manage contractors to ensure compliance with health and safety

Assessment criteria

The learner can:

- 2.1 outline the approved procedures that must be followed when organizing access, security and health and safety arrangements, taking into account turnover of workers, and contractor activities, this may include:
 - 2.1a liability insurance
 - 2.1b permits to work
 - 2.1c safety method statements
 - 2.1d job cards
 - 2.1e risk assessments
 - 2.1f relevant site personnel / contractor contract numbers
 - 2.1g an induction process which will include: rules of site; hazards; first aid and medical procedures; welfare; emergency procedures; security procedures; removal and disposal of waste
- 2.2 explain the types of problems that can arise during the use of premises and facilities and the procedure to be followed when dealing with such problems
- 2.3 explain the procedure to be followed in the event of an emergency and/or drill
- 2.4 explain the location of emergency exits and emergency equipment and the importance of making contractors aware of these
- 2.5 outline the checks to be carried out to ensure that premises and facilities are left safe and secure during and after use
- 2.6 outline the records to be kept and the importance of keeping them accurately, and who is authorized to access them
- 2.7 outline the right egress/access points and arrangements for contractors
- 2.8 outline the instructions for monitoring contractor activities and the possible consequences for failing to follow instructions
- 2.9 outline the expected standards for:
 - 2.9a contractor welfare facilities
 - 2.9b conduct
 - 2.9c adherence to site health and safety legislation

Unit 522

Manage contractors to ensure compliance with health and safety

Supporting Information

Evidence requirements

The learner may be observed on-site by the assessor or someone that is occupationally competent when conducting the audit in the organisation.

Pre-qualification Questionnaire

Learners can use any evidence gained from Pre-qualification questionnaire (PQQ) where this is applicable.

Unit 523

Develop and implement the health and safety induction process

Unit level:	Level 5
GLH:	8
Unit aim:	This unit is for managers who have the responsibility for developing and implementing the health and safety induction process in the organisation, preparing information and guidance.
Relationship to NOS:	This unit is linked to HSP15 Develop and implement a health and safety audit.
Endorsed by	This unit is endorsed by ProSkills, the Sector Skills Council for Health and Safety.

Learning outcome

The learner will:

be able to identify the health and safety induction requirements for the organisation

Assessment criteria

The learner can:

- 1.1 identify the specific health and safety requirements for the organisation, its procedures and policies, to include
 - 1.1a responsibilities for health and safety as defined by internal and external requirements
 - 1.1b the structure of the organisation and people responsible for health and safety
 - 1.1c the industry/occupational areas /visitors/contractors etc the induction is for
 - 1.1d the health and safety reporting procedures in the organisation
- 1.2 identify health and safety specific knowledge, skills and competencies that individuals need to develop in order to fulfil particular roles and diverse abilities
- 1.3 comply with health and safety legal requirements and the organisation's policies and procedures

Learning outcome

The learner will:

- 2 be able to prepare information and guidance materials to implement the health and safety induction process

Assessment criteria

The learner can:

- 2.1 identify the information and guidance required for the work areas and job roles the induction is being prepared for
- 2.2 develop appropriate dissemination methods considering effective communication principles, methods, tools and techniques
- 2.3 prepare information and guidance materials that:
 - 2.3a contain accurate, up to date information that meets individuals' requirements
 - 2.3b present information in a clear and concise method taking into account the needs of the individuals with diverse abilities, styles and motivations

Learning outcome

The learner will:

- 3 be able to implement the health and safety induction process

Assessment criteria

The learner can:

- 3.1 involve the relevant people in the development of information and guidance materials to gain approval of the materials prior to publication
- 3.2 ensure that information and guidance materials are available when needed
- 3.3 ensure materials are updated in relation to changes in internal and external requirements
- 3.4 record /update organisations information systems keeping information confidential where appropriate
- 3.5 ensure the health and safety induction is delivered to meet the planned requirements

Learning outcome

The learner will:

- 4 understand how to implement the health and safety induction process

Assessment criteria

The learner can:

- 4.1 describe the hazards and the risks which may arise in your workplace
- 4.2 outline the responsibilities for health and safety as defined by internal and external requirements
- 4.3 describe the structure of the organisation and people responsible for health and safety
- 4.4 outline industry/occupational areas /visitors/contractors etc the induction is for
- 4.5 outline the work areas and job roles the induction is being prepared for
- 4.6 outline effective communication, questioning and information sharing principles, methods, tools and techniques
- 4.7 describe the health and safety reporting procedures within the organisation
- 4.8 identify sources of advice, guidance and support available internally and externally
- 4.9 explain when to review and update the process in relation to changes in internal and external requirements
- 4.10 explain the need to review the induction process in order to meet requirements
- 4.11 explain the importance of recording significant findings, which may affect the induction process

Unit 610

Develop and implement the health and safety policy

Unit level:	Level 6
GLH:	18
Unit aim:	This unit is for learners with senior responsibility for developing the health and safety policy for their organisation and managing its implementation. Learners will need to be able to develop, advocate, implement and work with key stakeholders.
Relationship to NOS:	This unit is linked to HSP3 Develop and implement the health and safety policy.
Endorsed by	This unit is endorsed by ProSkills, the Sector Skills Council for Health and Safety.

Learning outcome

The learner will:

- 1 understand the steps required to develop and implement the Health and Safety Policy

Assessment criteria

The learner can:

- 1.1 explain the nature and role of the Health and Safety Policy and procedures within the organisation
- 1.2 explain how the business functions within the organisation interact and impact on the Health and Safety policy
- 1.3 explain the formal and informal input - conversion - output model of organisational systems
- 1.4 explain how individual and group motivation can be achieved
- 1.5 explain external factors influencing health and safety eg statutory health and safety requirements including emergency procedures; first aid and medical service provision; fire precautions; major disasters; ionizing radiation incident; environmental impact events; the control of an emergency
- 1.6 explain external factors influencing industry best practice.

Learning outcome

The learner will:

- 2 be able to define the statutory and workplace health and safety requirements for the organisation.

Assessment criteria

The learner can:

- 2.1 analyse the structure of the organisation relative to health and safety
- 2.2 advocate the Health and Safety Policy to all key stakeholders in the organisation
- 2.3 evaluate the existing health and safety systems, policies and procedures in the organisation
- 2.4 evaluate the statutory and workplace health and safety requirements relating to:
 - 2.4a input of materials. Equipment, goods, services and resources
 - 2.4b the conversion processes of the organisation
 - 2.4c output of products and services
 - 2.4d unplanned, unwanted or unnecessary goods, materials and waste of all types
 - 2.4e employees, contractors and others affected by the organisation's activities
- 2.5 identify those external to the organisation who may be affected by the organisations activities.

Learning outcome

The learner will:

- 3 be able to develop the Health and Safety Policy

Assessment criteria

The learner can:

- 3.1 identify deficiencies in the existing Health and Safety Policy of the organisation (where no policy exists a policy must be produced)
- 3.2 identify constraints that could affect proposals for change
 - 3.2a resources
 - 3.2b personnel
 - 3.2c responsibilities of those involved in health and safety
- 3.3 draft the changes to the revised Health and Safety Policy to remedy deficiencies
- 3.4 consult and provide opportunities for key stakeholders to review the revised/new policy
- 3.5 establish a strategy for promoting commitment to the Health and Safety Policy by relevant stakeholders in the organisation
- 3.6 advocate the adoption of the new/improved Health and Safety Policy.

Learning outcome

The learner will:

- 4 be able to implement the Health and Safety Policy

Assessment criteria

The learner can:

- 4.1 specify the strategy for implementation programme of the Health and Safety Policy, to include:
 - 4.1a providing support and assistance during the implementation process
 - 4.1b take/plan effective action in case problems arise during implementation
 - 4.1c providing adequate opportunities for feedback
 - 4.1d responding appropriately to the feedback
 - 4.1e planning the implementation process to ensure minimum disruption
- 4.2 ensure quality management requirements are applied to all health and safety documentation
- 4.3 develop systems to monitor effectiveness of the organisations policy
- 4.4 ensure health and safety policy documentation is consistent with the health and safety strategy.

Unit 610

Develop and implement the health and safety policy

Supporting Information

Evidence requirements

Learners must produce a policy where no policy exists.

Where a policy exists, a critical review must be taken of all aspects of the current policy so that deficiencies are identified. Where no deficiencies are identified, learners must investigate / gather evidence through QA with key stakeholders.

Unit 611

Professional development and ethics in Health and Safety management

Unit level:	Level 6
GLH:	2
Unit aim:	<p>This unit is to enable learners in health and safety practice to be able to evaluate their personal competence continually, and reflects on skills or knowledge gaps. It also enables learners to develop their ability to review ideas and practices critically and to carry out research to inform their practice.</p> <p>Candidates wishing to gain IOSH graduate membership must complete this unit and assessment. From 1 September 2022, IOSH Associate/ or Technical membership (A/T) will apply to this Level 5 qualification (3654-06). Further information is available in the Introduction section of this Qualification Handbook.</p> <p>Please note this assessment requires evidence to be collected over a period of 12 months. Please see the guidance for assessors of further details.</p>
Relationship to NOS:	This unit is directly linked to the IOSH graduate membership criteria

Learning outcome

The learner will:

- 1 be able to carry out health and safety research in relation to the role in the organisation

Assessment criteria

The learner can:

- 1.1 conduct research into legislation, guidance, standards, practice impacting the organisation
- 1.2 critically evaluate the impact of Legislation, guidance, standards, practice research (PESTLE)
- 1.3 summarise recommendations from the research conducted

Learning outcome

The learner will:

- 2 understand professional ethics in practice

Assessment criteria

The learner can:

- 2.1 explain why codes of conduct and ethics are relevant to practice in the organisation
 - 2.2 evaluate ethical issues in existing working practices in the organisation
-

Learning outcome

The learner will:

- 3 understand current issues of diversity and inclusivity in relation to health and safety

Assessment criteria

The learner can:

- 3.1 outline the impact of diversity and inclusivity on the organisation
 - 3.2 explain the benefits and risks of diversity and inclusivity on the organisation
 - 3.3 recommend suitable interventions to ensure inclusivity and dignity of individuals in the organisation
-

Learning outcome

The learner will:

- 4 be able to apply the principles of CPD in the role

Assessment criteria

The learner can:

- 4.1 create a personal development plan including realistic goals (SMART plan)
- 4.2 record outcomes of development activities
- 4.3 critically reflect on CPD

Unit 611

Professional development and ethics in Health and Safety management

Supporting Information

Evidence requirements

Candidates must complete the set assessment tasks in assignment packs to gain IOSH Graduate membership recognition. Note: from 1 September 2022, IOSH Associate/ or Technical membership (A/T) will apply to this Level 5 qualification (3654-06). Further information is available in the Introduction section of this Qualification Handbook.

Appendix 1 Sources of general information

The following documents contain essential information for centres delivering City & Guilds qualifications. They should be referred to in conjunction with this handbook. To download the documents and to find other useful documents, go to the **Centres and Training Providers homepage** on www.cityandguilds.com.

City & Guilds Centre Manual contains detailed information about the processes which must be followed and requirements which must be met for a centre to achieve 'approved centre' status, or to offer a particular qualification, as well as updates and good practice exemplars for City & Guilds assessment and policy issues. Specifically, the document includes sections on:

- The centre and qualification approval process
- Assessment, internal quality assurance and examination roles at the centre
- Registration and certification of candidates
- Non-compliance
- Complaints and appeals
- Equal opportunities
- Data protection
- Management systems
- Maintaining records
- Assessment
- Internal quality assurance
- External quality assurance.

Our Quality Assurance Requirements encompasses all of the relevant requirements of key regulatory documents such as:

- Regulatory Arrangements for the Qualifications and Credit Framework (2008)
- SQA Awarding Body Criteria (2007)
- NVQ Code of Practice (2006)

and sets out the criteria that centres should adhere to pre and post centre and qualification approval.

Access to Assessment & Qualifications provides full details of the arrangements that may be made to facilitate access to assessments and qualifications for candidates who are eligible for adjustments in assessment.

The **centre homepage** section of the City & Guilds website also contains useful information on such things as:

- **Walled Garden:** how to register and certificate candidates on line
- **Events:** dates and information on the latest Centre events
- **Online assessment:** how to register for e-assessments.

Centre Guide – Delivering International Qualifications contains detailed information about the processes which must be followed and requirements which must be met for a centre to achieve 'approved centre' status, or to offer a particular qualification. Specifically, the document includes sections on:

- The centre and qualification approval process and forms
- Assessment, verification and examination roles at the centre
- Registration and certification of candidates
- Non-compliance
- Complaints and appeals
- Equal opportunities
- Data protection
- Frequently asked questions.

Linking to this document from web pages

We regularly update the name of documents on our website, therefore in order to prevent broken links we recommend that you link to our web page that the document resides upon, rather than linking to the document itself.

Useful contacts



UK learners

General qualification information

E: learnersupport@cityandguilds.com

International learners

General qualification information

E: intcg@cityandguilds.com

Centres

Exam entries, Certificates, Registrations/enrolment, Invoices, Missing or late exam materials, Nominal roll reports, Results

E: centresupport@cityandguilds.com

Single subject qualifications

Exam entries, Results, Certification, Missing or late exam materials, Incorrect exam papers, Forms request (BB, results entry), Exam date and time change

E: singlesubjects@cityandguilds.com

International awards

Results, Entries, Enrolments, Invoices, Missing or late exam materials, Nominal roll reports

E: intops@cityandguilds.com

Walled Garden

Re-issue of password or username, Technical problems, Entries, Results, e-assessment, Navigation, User/menu option, Problems

E: walledgarden@cityandguilds.com

Employer

Employer solutions including, Employer Recognition: Endorsement, Accreditation and Quality Mark, Consultancy, Mapping and Specialist Training Delivery

E: business@cityandguilds.com

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City & Guilds Group

The City & Guilds Group is a leader in global skills development. Our purpose is to help people and organisations to develop their skills for personal and economic growth. Made up of City & Guilds, City & Guilds Kineo, The Oxford Group and ILM, we work with education providers, businesses and governments in over 100 countries.

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City & Guilds
1 Giltspur Street
London EC1A 9DD
www.cityandguilds.com