City & Guilds Level 6 Diploma in Occupational Health and Safety Practice (3655-06)

November 2021 Version 1.3

Qualification Handbook

Qualification at a glance

Subject area	Health and Safety
City & Guilds number	3655
Age group approved	19+
Entry requirements	None
Assessment	Portfolio of evidence
Approvals	Full Centre Approval Automatic approval from 3654-06
Support materials	Centre handbook Assessment pack
Registration and certification	Consult the Walled Garden/Online Catalogue for last dates

Title and level	City & Guilds number	Accreditation number
City & Guilds Level 6 Diploma in Occupational Health and Safety Practice	3655-06	603/7253/9

Version and date	Change detail	Section
Ver 1.0 March 2021	Initial version	All
Ver 1.1 April 2021	Qualification title updated to include 'City & Guilds'	All
Ver 1.2 July 2021	Unit 1: correction to heading for section for 'Unit Guidance' and 'Evidence Requirements'	Unit 1 'Unit Guidance' /' Evidence Requirements'
Ver 1.2 July 2021	Update to include information on RPL for the City & Guilds Diploma in Occupational Health and Safety Practice from 3654-06 to 3655-06	Recognition of prior learning (RPL)
Ver 1.3 Nov 2021	Addition of IOSH Accredited Programme logo and accreditation statement	Cover, page 4

Contents

1 Introduction

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

Area	Description
Who is the qualification for?	This qualification is for learners who wish to demonstrate and 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. Learners 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 demonstrate the skills required for employment and/or career progression in the occupational 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. This means that 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 Graduate 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 are the opportunities for progression?	Enables learners to progress into employment, higher education, management qualifications or to qualifications offered by: IOSH NEBOSH
Who did we develop the qualification with?	This qualification is based on the National Occupational Standards developed by ProSkills UK and on current IOSH competencies for professional standards for safety and health at work.
Is it part of an apprenticeship framework or initiative?	No

Structure

To achieve the City & Guilds Level 6 Diploma in Occupational Health and Safety Practice, learners must achieve all units in the qualification. Assessment for unit **605 Professional development and ethics in health and safety practice** requires evidence to be collected over a period of 12 months.

City & Guilds Level 6 Diploma in Occupational Health and Safety Practice			
City & Guilds unit number	**Unit title**	**Group**	**GLH**
3655-601	Health and safety emergency procedures	Mandatory	13
3655-602	Health and safety audits	Mandatory	13
3655-603	A positive health and safety culture in an organisation	Mandatory	13
3655-604	Organisational health and safety policy	Mandatory	13
3655-605	Professional development and ethics in health and safety practice	Mandatory	11
3655-606	Systems monitoring and risk control	Mandatory	13
3655-607	Organisational health and safety strategy	Mandatory	11

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 would 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.

Title and level	City & Guilds number	Qualification number	Total GLH	TQT
City & Guilds Level 6 Diploma in Occupational Health and Safety Practice	3655-06	603/7253/9	87	419

2   Centre requirements

Approval

All centres previously approved to offer the 3654-06 Level 5 Occupational Health and Safety Practice qualification will be given automatic approval to offer 3655-06 City & Guilds Level 6 Diploma in Occupational Health and Safety Practice.

Centres not previously offering the 3654-06 Level 5 Occupational Health and Safety Practice qualification will need to apply for qualification approval through the standard approval process.

To offer this qualification, new centres will need to gain both centre and qualification approval. Please refer to the **City & Guilds Centre Manual** for further information.

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

Resource requirements

Centre staffing

Staff delivering this qualification 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.

See the Assessment Strategy in this document for further details on the role of supervisors and managers in the assessment process.

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, e.g. tutor and assessor or internal quality assurer but cannot internally quality assure their own assessments.

Any changes to centre resources must be communicated to the relevant City & Guilds Quality Team via a **Centre update form**. Centres should refer to **Our Quality Assurance Requirements (OQAR)** for further guidance.

Learner entry requirements

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

Age restrictions

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

3 Delivering the qualification

Initial assessment and induction

An initial assessment of each learner should be made before the start of their programme to identify:

- if the learner has any specific training needs,
- support and guidance they may need when working towards their qualification
- any units they have already completed, or credit they have accumulated which is relevant to the qualification
- the appropriate type and level of qualification.

We recommend that centres provide an induction programme so the learner fully understands the requirements of the qualification, their responsibilities as a learner, and the responsibilities of the centre. This information can be recorded on a learning contract.

Recording documents

Learners and centres may decide to use a paper-based or electronic method of recording evidence.

City & Guilds endorses several ePortfolio systems, including our own, **Learning Assistant**, an easy-to-use and secure online tool to support and evidence learners' progress towards achieving qualifications. Further details are available at: **www.cityandguilds.com/eportfolios**.

City & Guilds has developed a set of **Recording forms** that include examples of completed forms, for new and existing centres to use as appropriate. **Recording forms** are available on the City & Guilds website.

Although new centres are expected to use these forms, centres may devise or customise alternative forms, which must be approved for use by the external quality assurer, before they are used by learners and assessors at the centre. Amendable (MS Word) versions of the forms are available on the City & Guilds website.

4 Assessment

Summary of assessment methods

Learners must:
- complete a portfolio of evidence covering all the assessment criteria for each mandatory unit (note: all units in the qualification are mandatory)
- successfully complete an assignment for **unit 605 Professional development and ethics in health and safety practice**.

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

- an assignment for unit **605 Professional development and ethics in health and safety practice**. The assignment document contains the City & Guilds set assignment for learners, assessor guidance and the **learner assessment record form** which can be used for each task in the assignment.

Assessment Types			
Unit	Title	Assessment method	Where to obtain assessment materials
601	Health and safety emergency procedures	Portfolio of Evidence	N/A (Assessment guidance is provided in the unit)
602	Health and safety audits	Portfolio of Evidence	N/A (Assessment guidance is provided in the unit)

Unit	Title	Assessment method	Where to obtain assessment materials
603	A positive health and safety culture in an organisation	Portfolio of Evidence	N/A (Assessment guidance is provided in the unit)
604	Organisational health and safety policy	Portfolio of Evidence	N/A (Assessment guidance is provided in the unit)
605	Professional development and ethics in health and safety practice	Assignment 3655 The assignment covers the skills and knowledge in the unit. It is set by City & Guilds, delivered and marked by the tutor/assessor, and will be externally quality assured by City & Guilds.	The City and Guilds website (see page for 3655). Centres approved to offer the qualification should refer to the Walled Garden for the password required to access assessment material.
606	Systems monitoring and risk control	Portfolio of Evidence	N/A (Assessment guidance is provided in the unit)
607	Organisational health and safety strategy	Portfolio of Evidence	N/A (Assessment guidance is provided in the unit)

To achieve the City & Guilds Level 6 Diploma in Occupational Health and Safety Practice, learners must achieve **all** units in the qualification. There is no requirement to undertake the units in a particular order.

Centres should note that the assessment for **unit 605 Professional development and ethics in health and safety practice** requires evidence to be collected over a period of 12 months.

Time constraints

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

- learners must finish their assessment within their registration period.

Grading

This qualification is graded Pass/Refer.

Assessment strategy

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

Evidence will:
- reflect how the learner carried out the process
- be the product of a learner's work
- be a product relating to the learner's competence
- be supported by a reflective account, unit summary or other suitable account demonstrating knowledge of the unit requirements.

For example, the process that the learner 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 learner submits for assessment meets the requirements of the qualification.

City & Guilds have identified the following main assessment methods, which are suitable for this qualification:
- observation of practice by a qualified assessor must be carried out for a minimum of one unit. Observation is defined as face-to-face or validated remote observations.
- expert witness - this **cannot** be the **only** method of observation used. The expert witness must be competent and approved following the submission of a Centre update form to City & Guilds. The expert witness will need to be available (either in person or by telephone) should the EQA require to speak to them during an EQA activity.

Centres are encouraged to use a holistic assessment approach, using the full range of appropriate assessment methods available.

The learner must demonstrate direct involvement with the occupational health and safety management process in their workplace. Where, due to the structure of the organisation, a learner is not responsible for final authorisation, the evidence must show clearly how the learner has contributed to the health and safety management process.

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.

City & Guilds has identified connections between 3655-06 Level 6 Diploma in Occupational Health and Safety Practice and 3654-06 Level 5 Diploma in Occupational Health and Safety Practice. Mapping information is available in the guidance document **Recognition of Prior Learning (RPL) for the City & Guilds Diploma in Occupational Health and Safety Practice from 3654-06 to 3655-06**. The guidance document is available on the centre documents pages for 3655-06 and 3654-06 on the City & Guilds website.

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5   Units

Structure of units

These units each have the following:
- City & Guilds reference number
- title
- level
- Guided Learning Hours (GLH)
- unit aim
- assessment types
- summary of IOSH competencies in the unit
- learning outcomes which are comprised of assessment criteria
- range
- unit guidance
- evidence requirements
- IOSH competencies to be included in the evidence provided for the unit.

Guidance for the units

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. via 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.

Throughout the units, learners should use legislation and policy as it applies in the national context in which they work. Where legislation and policy are applicable to a particular nation/jurisdiction, this has been identified within the range/guidance for that learning outcome.

Centres should be referring to up-to-date legislation/guidance/regulations at the time when assessment is taking place.

Unit 601 Health and safety emergency procedures

Unit Level:	Level 6
GLH:	13
Unit Aim:	This unit will enable the learner to demonstrate knowledge and skills in planning and implementing emergency procedures and response. The learner will understand how to preserve the scene for a health and safety investigation, how to support a legal defence and undertake a cost analysis of the impact on the organisation.
Assessment Types:	Direct/recorded observation (DO) Oral questioning Witness testimony (WT) Candidate statement Professional discussion (PD) Recognition of Prior Learning (RPL) Product evidence
Summary of IOSH competencies in this unit:	Leadership and management, incident management and strategic planning, ensuring that any strategies or plans are sustainable. The plans should address any legal requirements and be capable of being defended in the event of a legal challenge.

Learning outcomes

The learner will:

1. understand health and safety emergency procedures
2. be able to develop health and safety emergency procedures
3. be able to implement procedures for the management of emergencies
4. understand how to support a legal defence for the organisation in relation to a health and safety issue

Learning outcome:

The learner will:

1. understand health and safety emergency procedures

Assessment criteria

The learner can:

1.1   identify the potential causes of emergency in the organisation, both on-site and off-site:
    a. natural
    b. man-made
    c. accidental

d. deliberate

1.2 explain the **external factors** influencing requirements for the health and safety **emergency procedures**:
   a. emergency response
   b. first aid and medical service provision
   c. fire precautions
   d. major disasters
   e. environmental impact events
   f. the control of an emergency
   g. evacuation procedures

1.3 critically evaluate the organisation's **emergency procedures**:
   Range:
   External factors – PESTLE factors potentially relevant to the organisation.

   Emergency procedures – relevant health and safety statutory requirements, dealing with ongoing effects of fatalities, injury accidents, dangerous occurrences, fire and explosion, toxic release, major disasters, environmental impart, rescue and security alert, evacuation procedures, methods of communication.

1.4 explain the importance to the organisation of press releases and media management of emergency situations

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Learning outcome:

The learner will:

2. be able to develop health and safety emergency procedures

Assessment criteria

The learner can:

2.1 develop emergency procedures for the organisation in collaboration with **stakeholders**
   Range:
   Stakeholders – internal stakeholders, external stakeholders, emergency services.

2.2 explain how to liaise with **external services** for emergency medical care and rescue work
   Range:
   External services – services which the organisation does not provide or for which the organisation requires additional support.

2.3 prepare **emergency procedures** for the organisation to meet requirements:
   a. regulatory authorities
   b. local authorities
   c. emergency services
   Range:
   Emergency procedures – first-aid provision, medical provision, firefighting provision, evacuation procedures, training and development, communications.

2.4 maintain records of the organisation's health and safety emergency procedures

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Learning outcome

The learner will:

3. be able to implement procedures for the management of emergencies

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Assessment criteria

The learner can:

3.1 implement emergency procedures for the organisation, on-site and off-site
3.2 respond to requests from relevant **external organisations**:
Range:
External organisations – regulatory authorities, local authorities, media.
3.3 monitor the **effectiveness** of the **emergency procedures**
Range:
Effectiveness of emergency procedures – determining the effectiveness by referring to relevant factors such as levels of compliance, putting in place a continuous development process.
3.4 maintain **records** of testing the emergency procedures
Range:
Records - electronic or paper based, specific to the organisation or as agreed with the Emergency Response Services.

Learning outcome

The learner will:

4. understand how to support a legal defence for the organisation in relation to a health and safety issue

Assessment criteria

The learner can:

4.1 explain their role in supporting a defence to a legal action against the organisation in relation to a health and safety issue
Range:
Legal action – criminal action, civil action.
4.2 explain their role in an investigation of an incident within the organisation.

Unit 601 Health and safety emergency procedures

Unit Guidance

Examples of assessment types have been suggested at the front of this unit but centres should consider the widest range of appropriate methods available and adopt a holistic approach to assessment. The use of observations and recorded observations is encouraged wherever possible.

The learner may be observed on-site by the assessor or by an expert witness.

Communication knowledge requirements should be evidenced in the way(s) most appropriate for the learner and the context, such as a unit summary, reflective account or during a professional discussion.

The term 'procedures', as used throughout this unit, could include plan(s) and/or instructions. Therefore, in assessment or evidence relating to procedures, the learner could also refer to any relevant plans, series of actions or instructions that form part of the procedures.

The learner may not have practical experience of off-site scenarios but will demonstrate understanding of the processes through appropriate assessment methods.

Evidence requirements

Learning Outcome 1
The learner will show understanding of how to deal with incidents of differing severity and how to preserve the scene for investigation.

For AC 1.2, the learner will consider both on-site and off-site scenarios in explaining the external factors influencing requirements for the health and safety emergency procedures.

In achieving AC 1.3, the learner will also evaluate procedures for simulation and consider the impact of simulated emergency procedures from an on-site and off-site perspective.

Learning Outcome 2
The learner will carry out the development of emergency procedures in both an on-site and off-site context.

For AC 2.2, evidence of a response from the emergency services is **not** required. However, evidence of the emergency planning process is required.

For AC 2.4, the learner could maintain hard copy or electronic records.

Learning Outcome 3
The learner will carry out the implementation of procedures for the management of emergencies on-site and off-site.

The learner will ensure that sufficient facilities, materials, equipment, resources and personnel are available to deal with the control of an emergency in the organisation. This includes any communication equipment required. In the procedures dealing with the control of an emergency, the learner will give detail of the competencies required.

In achieving AC 3.4, the learner will be involved in monitoring rather than following organisational guidance.

For AC 3.5, the learner could maintain hard copy or electronic records.

Learning Outcome 4
The learner will show that they are able to provide health and safety advice in support of a legal defence, taking on the role of expert witness where appropriate. All organisations should include health and safety in their business plan. Evidence is therefore required that the health and safety manager is appropriately involved in the business plan, including evidence that an appropriate system has been put in place in the event of a legal defence being required.

For AC 4.1, the learner will be expected to evidence the steps they have taken in line with their role in the organisation. It is accepted that the learner might not be involved in the decision-making process as this is dependent on the size of the organisation.

For AC 4.2, the investigation could be conducted by the learner or by a third party.

IOSH competencies included in the evidence provided for this unit

Incident management

- Be able to apply different procedures to deal with incidents of differing severity
- Have procedures in place to deal with casualties, scene preservation and implement the reporting and investigation procedure
- Identify stakeholders and engage them appropriately in the investigation
- Identify direct and indirect causes of incidents; identify missing information and assess possible improvements to risk controls and management systems
- Prepare reports, applying professional and legal standards
- Identify the full range of documentary evidence that would support a legal defence
- Undertake a cost analysis to understand the impact of the incident on the business

Sustainability

- Be able to influence, support and implement strategies and plans that will be beneficial to the organisation
- Ensure diversity and inclusion in a wide range of safety and health business activities, development of wellness programmes, support and training to develop employees and provide progression opportunities.
- Respond to changing demographics in the workplace, embracing diversity and inclusion, disability and return to work and rehabilitation processes
- Develop and deliver social sustainability programmes that directly affect local communities; be clear about objectives and be able to leverage the organisation's brand, products and services and engage stakeholders effectively in support
- Play a leading part in financial sustainability of the organisation through development and implementation of health and safety management systems and processes
- Play a part in ensuring that resources are obtained from socially and environmentally responsible sources
- Clearly identify any ethical issues, responsibilities and challenges that could compromise good occupational safety and health practice within the organisation

Strategy

- Identify and consider emerging issues and development opportunities, along with associated risks, while articulating a series of innovative and sustainable business options and recommendations
- Be cognisant with the organisation's approach to business; there should be consideration of markets, customers, suppliers and wider sector considerations
- Demonstrate a 360-degree review and consideration that makes a substantial difference in the way in which the occupational safety and health strategy is developed
- Build an awareness of interactions and linkages across stakeholder groups to influence and have an impact on safety and health throughout the business
- Influence both internal and external stakeholders and build relationships to present long-term opportunities
- Create a vision and set out and communicate clear goals and plans for the future
- Represent mission, vision, and arguments for action, suitable for a variety of audiences from the shop floor to the boardroom

- Participate in horizon scanning, gathering internal and external information on regulations, standards, and good practice which are important for developing business cases for safety and health performance improvement strategies
- Continuously engage in seeking out the latest thoughts regarding leadership and practice; use this information to educate and encourage co-workers to use the enhanced knowledge to transform the business and culture, continuously taking a proactive approach to shape a learning agenda

Planning

- Ensure realistic objectives are set and that the right deadlines, budgets and resources are put in place for effective delivery
- Ensure the plan delivers on requirements as this is a critical success factor for the occupational safety and health function and overall business
- Manage the financial resources of the occupational safety and health function across the business effectively and efficiently
- Be familiar with, and practiced in, budgetary process, profit loss and return on investment; these are critical competencies
- Define data needs and manage the collection and organisation of data effectively. Conduct data analysis and communicate outcomes
- Demonstrate the ability to make decisions on strategic and tactical issues

Leadership and management

- Utilise a range of leadership styles and approaches to lead on the development, function and implementation of operational plans to deliver health and safety
- Determine the right structure to drive high impact initiatives, productivity and effectiveness
- Allocate resources, set and manage budgets and put in place the right resources or make appropriate recommendations
- Demonstrate confidence, optimism, perseverance and personal resilience as they seek to use influence and ensure peers and stakeholders share and see the value in everything they do
- Inspire and motivate others
- Create a positive, sharing and enabling working environment
- Create plans for managing a range of occupational safety and health projects and programmes
- Scope, plan and communicate for change; assess the impact of that change on the business in safety and health terms
- Able to overcome differences of opinions relating to business issues
- Deploy a range of strategies and compromises that may achieve greater benefit for all concerned

Communication

- Ability to develop two-way communications
- Take on the role of trusted advisor within the organisation to promote, improve, maintain and enhance safety in daily operations
- Develop the ability to deliver positive feedback in a range of settings and situations
- Demonstrate active listening abilities with people in a range of situations and settings

Working with others

- Develop an honest understanding of own values, desires and thought patterns, motivations, goals and ambitions
- Evaluate effect on internal and external customers from personal approach to situations

- Apply formal and common-sense approaches to business decision making; show an ability to interpret commercial information carefully, and apply strong business judgement in problem solving
- Listen and respond appropriately and see things from other perspectives
- Demonstrate total honesty, transparency, clarity, ethical behaviour and integrity in all aspects of business - this is critical for the individuals and the business
- Take direct responsibility for ensuring coaching and mentoring opportunities are provided to support the learning of others; actively stretch those individuals' abilities outside their comfort zone and create opportunities for change, demonstrating a high-performance work ethic

Unit 602 Health and safety audits

Unit Level:	Level 6
GLH:	13
Unit Aim:	This unit is for learners responsible for planning and implementing a health and safety audit of their organisation. Learners will critically analyse data and make recommendations regarding the management of health and safety, including financial risks to the organisation.
Assessment Types:	Direct/recorded observation (DO) Product evidence Oral questioning Witness testimony (WT) Professional discussion (PD)
Summary of IOSH competencies in this unit:	Leadership and management, an awareness of health and safety law, the management of risks and incidents and sustainable strategic planning. Personal performance will feature and there is a requirement to clearly demonstrate an ability to work with others.

Learning outcomes

The learner will:

1. understand the principles of the health and safety systems within the organisation for audit purposes
2. be able to critically analyse the health and safety audit process within the organisation
3. be able to conduct a health and safety audit in the organisation
4. be able to make recommendations based on the results of the health and safety audit

Learning outcome:

The learner will:

1. understand the principles of the health and safety systems within the organisation for audit purposes

Assessment criteria

The learner can:

1.1 explain aspects of the audit process within health and safety management systems
1.2 explain **health and safety management**, **operational** and **technical standards** and **procedures** relating to the organisation
   Range:
   Health and safety management, operational and technical standards and procedures – health and safety requirements of the organisation, industry best practice, quality management requirements for the audit and the external factors influencing these aspects.
1.3 explain the advantages and disadvantages of in-house and contracted-in audits

1.4   summarise the competency requirements of the parties carrying out an audit:
      a. auditors
      b. companies
1.5   describe methods of gathering and analysing data in the audit process
1.6   explain how an audit system can be reviewed

Learning outcome:

The learner will:

2.   be able to critically analyse the health and safety audit process within the organisation

Assessment criteria

The learner can:

2.1   review the health and safety audit system in the organisation:
      a. purpose
      b. scope
      c. frequency
      d. **resources**
      e. organisational culture
      f. operation standards
      g. technical standards
      h. procedures
      i. performance
      j. relevant statutory requirements
    Range:
    Resources – people, financial and physical resources.
2.2   identify a suitable audit process

Learning outcome

The learner will:

3.   be able to conduct a health and safety audit in the organisation

Assessment criteria

The learner can:

3.1   conduct a health and safety audit in the organisation
3.2   conduct physical inspections and behavioural observations in the organisation
3.3   critically review the audit outcomes and process
3.4   evaluate the health and safety documentation of the organisation
3.5   maintain records of the health and safety audit

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 a written health and safety **audit report** for the organisation, including recommendations
    Range:
    Audit report – quantifying the results of the audit in considering the risks to the organisation and strategy, including any financial impact; making recommendations to improve and ensure the business continuity, sustainability and the health and safety performance of the organisation; recommending a realistic implementation programme and timescale for implementation.
4.2 present the audit report to senior managers and other stakeholders in accordance with organisational procedures
4.3 advocate acceptance of the recommendations of the audit report

Unit 602　　　　　Health and safety audits

Unit guidance

Examples of assessment types have been suggested at the front of this unit but centres should consider the widest range of appropriate methods available and adopt a holistic approach to assessment. The use of observations and recorded observations is encouraged wherever possible.

When conducting the audit in the organisation, the learner may be observed on-site by the assessor or an expert witness.

Communication knowledge requirements should be evidenced in the way(s) most appropriate for the learner and the context, such as a unit summary, reflective account or during a Professional discussion.

Evidence requirements

In instances where the health and safety manager's role is to request and oversee an audit, it is expected that the health and safety manager will critically analyse the results of the audit and make appropriate recommendations, or approve recommendations made by the auditor.

Learning Outcome 1
In achieving AC 1.5, the learner will show understanding of a range of data gathering processes, such as:

- active
- reactive
- proactive
- electronic
- surveys.

Learning Outcome 2
The learner will show in-depth understanding of the health and safety audit process in the organisation. They will critically evaluate compliance of the health and safety management systems with the operational, technical, procedures and performance standards specified by management and recommend improvements as appropriate.

For AC 2.2, the identified competent auditor may be internal or external.

Learning Outcome 3
In achieving AC 3.3, the learner's review will show they are able to identify (i) any changes required as a result of the audit and (ii) any changes required to the process itself.

Learning Outcome 4
The learner's recommendations will include any impact on the organisation's strategy, where applicable, including financial and operational impact, business strategy and the external environment.

IOSH competencies included in the evidence provided for this unit

Health and safety law

- Consider the spirit of the law and apply good practice and occupational safety and health principle to reduce risk
- Decide what kind of health and safety audit is required, its effective implementation and its use as part of a monitoring strategy
- The health and safety policy should be developed to show consistency with:
- business strategy
- drivers and culture that supports productivity and success
- The health and safety policy must describe:
- the intent of the organisation and its approach to health and safety
- accountabilities and responsibilities
- arrangements for delivering a safe operation
- Work with stakeholders to:
- plan activities and assign responsibilities
- develop safe working practices
- implement management procedures
- apply a plan-do-check framework
- Develop a continuous improvement process and:
- gather information against performance strategies
- interpret data
- monitor the effectiveness of controls
- develop technology and apply systems to support this process
- Establish a quality management process:
- develop a quality improvement process to enable continuous improvement
- complete self-assessment reports
- develop a quality improvement plan designed to provide a clear understanding of the inter-related process impacting on organisational and operational excellence

Risk management

- Proactively and continuously scan the external market for their industry for unexpected or emerging threats
- Monitor organisational proposals for changes in operation or structure affected
- Define risks and how they should be scaled through the organisation to ensure appropriate measures are in place
- Complete regular reviews to identify any significant changes and new risk
- Demonstrate effective use of risk-related data
- Use a range of qualitative and quantitative approaches to assessing risk; these must include identification and application of different assessment methodologies
- Be able to explain a range of factors that can influence the perception of risk
- Use risk prioritisation methods to inform action plans and control decision and management strategies
- Create a business case to support proposed interventions
- Develop mitigation strategies including the proportionate allocation of resources to control risks
- Use a range of resources to justify mitigation recommendations and overall business improvements, ensuring they are proportional to the risk in likelihood and severity
- Establish a risk reporting system that aligns with the organisational structure
- Provide detailed reports of the impact of risks on the business
- Be able to escalate unexpected, unanticipated or emerging risks urgently

- Evaluate the interdependence of risks and those in the rest of the organisation
- Understand and facilitate the integration of occupational health risk management into the organisation's management systems
- Contribute to, and ensure the co-ordination of, business continuity and crisis management strategies

Incident management
- Be able to apply different procedures to deal with incidents of differing severity
- Have procedures in place to deal with casualties, scene preservation and implement the reporting and investigation procedure
- Identify stakeholders and engage them appropriately in the investigation
- Identify direct and indirect causes of incidents; identify missing information and assess possible improvements to risk controls and management systems
- Prepare reports, applying professional and legal standards
- Identify the full range of documentary evidence that would support a legal defence
- Undertake a cost analysis to understand the impact of the incident on the business

Sustainability
- Be able to influence, support and implement strategies and plans that will be beneficial to the organisation
- Ensure diversity and inclusion in a wide range of safety and health business activities, development of wellness programmes, support and training to develop employees and provide progression opportunities.
- Respond to changing demographics in the workplace, embracing diversity and inclusion, disability and return to work and rehabilitation processes
- Develop and deliver social sustainability programmes that directly affect local communities; be clear about objectives and be able to leverage the organisation's brand, products and services and engage stakeholders effectively in support
- Play a leading part in financial sustainability of the organisation through development and implementation of health and safety management systems and processes
- Play a part in ensuring that resources are obtained from socially and environmentally responsible sources
- Clearly identify any ethical issues, responsibilities and challenges that could compromise good occupational safety and health practice within the organisation

Strategy
- Identify and consider emerging issues and development opportunities along with associated risks, while articulating a series of innovative and sustainable business options and recommendations
- Be cognisant with the organisation's approach to business; there should be consideration of markets, customers, suppliers and wider sector considerations
- Demonstrate a 360-degree review and consideration that makes a substantial difference in the way in which the occupational safety and health strategy is developed
- Contribute to inclusive workplace relationships, while collaborating in diverse teams to foster positive and productive outcomes
- Build an awareness of interactions and linkages across stakeholder groups to influence and have an impact on safety and health throughout the business
- Influence both internal and external stakeholders and build relationships to present long-term opportunities
- Create a vision and set out and communicate clear goals and plans for the future

- Represent mission, vision, and arguments for action, suitable for a variety of audiences from the shop floor to the boardroom
- Participate in horizon scanning, gathering internal and external information on regulations, standards, and good practice which are important for developing business cases for safety and health performance improvement strategies
- Continuously engage in seeking out the latest thoughts regarding leadership and practice; use this information to educate and encourage co-workers to use the enhanced knowledge to transform the business and culture, continuously taking a proactive approach to shape a learning agenda

Planning

- Ensure realistic objectives are set and that the right deadlines, budgets and resources are put in place for effective delivery
- Ensure the plan delivers on requirements as this is a critical success factor for the occupational safety and health function and overall business
- Manage the financial resources of the occupational safety and health function across the business effectively and efficiently
- Be familiar with, and practiced in, budgetary process, profit loss and return on investment; these are critical competencies
- Define data needs and manage the collection and organisation of data effectively. Conduct data analysis and communicate outcomes
- Demonstrate the ability to make decisions on strategic and tactical issues

Leadership and management

- Utilise a range of leadership styles and approaches to lead on the development, function, and implementation of operational plans to deliver health and safety
- Determine the right structure to drive high impact initiatives, productivity and effectiveness
- Allocate resources, set, and manage budgets and put in place the right resources or make appropriate recommendations
- Demonstrate confidence, optimism, perseverance, and personal resilience as they seek to use influence and ensure peers and stakeholders share and see the value in everything they do
- Inspire and motivate others
- Create a positive, sharing and enabling working environment
- Create plans for managing a range of occupational safety and health projects and programmes
- Scope, plan and communicate for change; assess the impact of that change on the business in safety and health terms
- Able to overcome differences of opinions relating to business issues
- Deploy a range of strategies and compromises that may achieve greater benefit for all concerned

Personal performance

- Understand, apply and work within legislative requirements, approved standards and company policy to ensure moral and social requirements of the occupational safety and health ethos, ensuring everyone has a right to work in a healthy and safe environment without risk or injury
- Undertake own self-development including an awareness of strengths, weaknesses, and opportunities
- Prioritise work and work on own initiative in a self-directed, autonomous manner; be able to work without guidance

- Generate commitment and enthusiasm from others to set and achieve challenging goals and objectives
- Continuous monitoring of results to ensure quality and delivery are maintained
- A desire to strive with others to improve productivity
- Investigate, assess and evaluate issues and events that have an impact on the business; use a range of tools and techniques to support the analysis to facilitate successful outcomes to problems
- Develop and embed approaches to innovative and creative working methods for improvement

Working with others

- Develop an honest understanding of own values, desires and thought patterns, motivations, goals and ambitions
- Evaluate effect on internal and external customers from personal approach to situations
- Apply formal and common-sense approaches to business decision making; show an ability to interpret commercial information carefully, and apply strong business judgement in problem solving
- Listen and respond appropriately and see things from other perspectives
- Demonstrate total honesty, transparency, clarity, ethical behaviour and integrity in all aspects of business – this is critical for the individuals and the business
- Take direct responsibility for ensuring coaching and mentoring opportunities are always provided to support the learning of others; actively stretch those individuals' abilities outside their comfort zone and create opportunities for change, demonstrating a high-performance work ethic

Unit 603 A positive health and safety culture in an organisation

Unit Level:	Level 6
GLH:	13
Unit Aim:	This unit will enable the learner to demonstrate knowledge and skills in fostering a positive safety culture and climate as a key aspect of an organisation's productivity and success.
Assessment Types:	Direct/recorded observation (DO)
	Product evidence
	Oral questioning
	Witness testimony (WT)
	Recognition of Prior Learning (RPL)
	Professional discussion (PD)
Summary of IOSH competencies in this unit:	Leadership and management, personal performance, an ability to work with others from a variety of backgrounds and the ability to influence stakeholders.

Learning outcomes

The learner will:

1. understand aspects of organisational culture that influence health and safety
2. be able to critically evaluate the current organisational culture in relation to health and safety
3. be able to develop a plan for the improvement of the organisational culture in relation to health and safety
4. be able to implement the continuous improvement programme for culture in relation to health and safety

Learning outcome:

The learner will:

1. understand aspects of organisational culture that influence health and safety

Assessment criteria

The learner can:

1.1 explain the significance of a safety culture and behavioural safety
1.2 explain how behaviours and attitudes impact on the health and safety culture in an organisation
1.3 explain how leadership and management styles impact on the health and safety culture of an organisation

1.4 identify methods of influencing behaviour and attitudes in relation to health and safety in an organisation

Range:

Methods – tangible and intangible, written communications and notices, training and development programmes, codes of ethics, modelling good behaviour

Learning outcome:

The learner will:

2. be able to critically evaluate the current organisational culture in relation to health and safety

Assessment criteria

The learner can:

2.1 evaluate how health and safety information is communicated within the organisation

2.2 critically evaluate current behaviours and attitudes within the organisation in relation to health and safety

2.3 justify areas for potential improvement to the health and safety culture in the organisation

2.4 present the outcome of the evaluation to the senior management team

Learning outcome

The learner will:

3. be able to develop a plan for the improvement of the organisational culture in relation to health and safety

Assessment criteria

The learner can:

3.1 critically evaluate the current understanding of health and safety procedures in **the organisation**

Range:

The organisation – individuals, groups, teams as appropriate to the structure of the organisation.

3.2 develop a programme to address the identified areas of behaviour and attitude impacting on health and safety in the organisation

3.3 develop a plan to communicate the improvement to the health and safety culture of the organisation

3.4 identify steps taken to influence others in the organisation in promoting a positive health and safety culture

Learning outcome

The learner will:

4. be able to implement the continuous improvement programme for culture in relation to health and safety

Assessment criteria

The learner can:

4.1 determine appropriate performance measures for the planned improvement to the organisation's health and safety culture:
Range:
Organisation – different levels, individual, team, departmental, organisational level.
4.2 implement the continuous improvement programme within the organisation
4.3 evaluate the effectiveness of the continuous improvement programme
4.4 make recommendations for the implementation of changes identified through the continuous improvement programme
4.5 provide opportunities for regular consultation on health and safety issues:
   a. encouraging creative ideas and innovation
   b. review opportunities for further improvements and collaboration
   c. identify best practice
   d. continuous improvement

Unit 603 A positive health and safety culture in an organisation

Unit guidance

Examples of assessment types have been suggested at the front of this unit but centres should consider the widest range of appropriate methods available and adopt a holistic approach to assessment. The use of observations and recorded observations is encouraged wherever possible. The learner may be observed on-site by the assessor or an expert witness.

Communication knowledge requirements should be evidenced in the way(s) most appropriate for the learner and the context, such as a unit summary, reflective account or during a Professional discussion.

Evidence requirements

Learning Outcome 1
There is no specific evidence guidance attached to this learning outcome.

Learning Outcome 2
For AC 2.1, the learner will include consideration of information systems in the organisation.

Learning Outcome 3
The learner's plan to improve the organisational culture will follow SMART principles (specific, measurable, achievable, realistic, timebound).

For AC 3.3, the learner will explain the importance of keeping personnel informed and collaborating on their involvement in the change process.
For AC 3.4, the learner will provide evidence of the influence achieved or planned for.

Learning Outcome 4
In implementing the continuous improvement programme, the learner will demonstrate the ability to collaborate with relevant stakeholders.

For AC 4.1, the learner will include relevant methods to measure changes in attitudes and behaviour, such as questionnaires, surveys and benchmarking against rates of incidents and accidents. The learner will also include benchmarks in safety leadership, as required by the improvement plan.

For AC 4.3, the learner will consider the effectiveness of communication processes and the training and development initiatives used.

For AC 4.4, the learner will consider the outcomes of their evaluation in AC 4.3 and make specific recommendations regarding how any further changes would be implemented and the anticipated benefits of the changes.

IOSH competencies included in the evidence provided for this unit

Culture

- Work cross-functionally in the organisation as a critical business partner, fostering a culture that drives a positive safety culture
- Understand what vulnerable workers are present in the workforce and what additional controls are necessary to ensure they are kept safe
- Ensure that adequate facilities are in place for workers
- Deliver management systems that promote and protect worker wellbeing
- Analyse, evaluate, interpret and determine the concepts of knowledge that employees at all levels of the organisation need to know to manage the risk profile of the organisation effectively
- Know the tenets of effective contractor management, including authorisation and management procedures; ensure the competence of contractors to carry out the work safely
- Reflect on changes impacting on the organisation and respond by recommending modifications to safety and health management systems and risk control strategies.

Sustainability

- Be able to influence, support and implement strategies and plans that will be beneficial to the organisation
- Ensure diversity and inclusion in a wide range of safety and health business activities, development of wellness programmes, support and training to develop employees and provide progression opportunities
- Respond to changing demographics in the workplace, embracing diversity and inclusion, disability and return to work and rehabilitation processes
- Develop and deliver social sustainability programmes that directly affect local communities; be clear about objectives and be able to leverage the organisation's brand, products and services and engage stakeholders effectively in support
- Play a leading part in financial sustainability of the organisation through development and implementation of health and safety management systems and processes
- Play a part in ensuring that resources are obtained from socially and environmentally responsible sources
- Clearly identify any ethical issues, responsibilities and challenges that could compromise good occupational safety and health practice within the organisation

Leadership and management

- Utilise a range of leadership styles and approaches to lead on the development, function, and implementation of operational plans to deliver health and safety
- Determine the right structure to drive high impact initiatives, productivity and effectiveness
- Allocate resources, set, and manage budgets and put in place the right resources or make appropriate recommendations
- Demonstrate confidence, optimism, perseverance, and personal resilience as they seek to use influence and ensure peers and stakeholders share and see the value in everything they do
- Inspire and motivate others
- Create a positive, sharing and enabling working environment
- Create plans for managing a range of occupational safety and health projects and programmes
- Scope, plan and communicate for change; assess the impact of that change on the business in safety and health terms

- Able to overcome differences of opinions relating to business issues
- Deploy a range of strategies and compromises that may achieve greater benefit for all concerned

Stakeholder management

- Find out stakeholders needs, expectations and motivations and build a rapport with strategic partners
- Use experience, training and knowledge and subject matter expertise to advise internal and external customers regarding the best way to undertake a series of activities to deliver on business intent
- Negotiate constructively to arrive at a win-win situation to achieve value-added results and outcomes

Personal performance

- Understand, apply and work within legislative requirements, approved standards and company policy to ensure moral and social requirements of the occupational safety and health ethos, ensuring everyone has a right to work in a healthy and safe environment without risk or injury
- Undertake own self-development including an awareness of strengths, weaknesses, and opportunities
- Prioritise work and work on own initiative in a self-directed, autonomous manner; be able to work without guidance
- Generate commitment and enthusiasm from others to set and achieve challenging goals and objectives
- Continuous monitoring of results to ensure quality and delivery are maintained
- A desire to strive with others to improve productivity
- Investigate, assess and evaluate issues and events that have an impact on the business; use a range of tools and techniques to support the analysis to facilitate successful outcomes to problems
- Develop and embed approaches to innovative and creative working methods for improvement

Working with others

- Develop an honest understanding of own values, desires and thought patterns, motivations, goals and ambitions
- Evaluate effect on internal and external customers from personal approach to situations
- Apply formal and common-sense approaches to business decision making; show an ability to interpret commercial information carefully, and apply strong business judgement in problem solving
- Listen and respond appropriately and see things from other perspectives
- Demonstrate total honesty, transparency, clarity, ethical behaviour and integrity in all aspects of business - this is critical for the individuals and the business
- Take direct responsibility for ensuring coaching and mentoring opportunities are always provided to support the learning of others; actively stretch those individuals' abilities outside their comfort zone and create opportunities for change, demonstrating a high-performance work ethic

Unit 604 Organisational health and safety policy

Unit Level:	Level 6
GLH:	13
Unit Aim:	This unit is for learners with responsibility for developing the health and safety policy for their organisation, managing or leading others in its implementation. Learners will evidence the knowledge and skills needed to develop, advocate, communicate and implement the policy in collaboration with key stakeholders.
Assessment Types:	Professional discussion (PD) Witness testimony (WT) Direct/recorded observation (DO) Question & Answer (Q & A) Recognition of Prior Learning (RPL) Candidate statement
Summary of IOSH competencies in this unit:	Leadership and management, strategic planning and ensuring that any strategies or plans are sustainable and address health and safety law. Personal performance, communication, working with others and inclusive working practices.

Learning outcomes

The learner will:

1. understand the organisational structures and processes
2. understand business functions in relation to workplace health and safety
3. be able to critically review the organisation's current health and safety policy
4. be able to implement improvements to the current health and safety policy

Learning outcome:

The learner will:

1. understand the organisational structures and processes

Assessment criteria

The learner can:

1.1 explain the structure of the organisation relative to health and safety
1.2 explain the current health and safety practices of the organisation
1.3 define the nature and role of the health and safety policy and **procedures** within the organisation
   Range:
   Procedures – input of materials, equipment, goods, services and resources, the conversion processes of the organisation, output of products and services, unplanned, unwanted or unnecessary goods, materials and waste of all types, employees, contractors and others affected by the organisation's activities, transport.

Learning outcome:

The learner will:

2. understand business functions in relation to workplace health and safety

Assessment criteria

The learner can:

2.1 define how the **business functions** in the organisation interact with, and impact on, the health and safety policy
Range:
Business functions - operational, human resources, procurement, senior management, asset management, waste, environment, sales and marketing, legal.

2.2 define the formal and informal 'input - conversion – output' model of the organisational systems

2.3 explain how behaviour within the organisation can influence health and safety compliance

2.4 evaluate internal and external factors influencing health and safety activities and best practice in the organisation

Learning outcome

The learner will:

3. be able to critically review the organisation's current health and safety policy

Assessment criteria

The learner can:

3.1 critically review the existing health and safety systems, policies and procedures in the organisation

3.2 Apply changes to the existing health and safety policy to improve its effectiveness (where no policy exists, a policy must be produced)

3.3 consult with stakeholders on the changes to the health and safety policy

Learning outcome

The learner will:

4. be able to implement improvements to the current health and safety policy

Assessment criteria

The learner can:

4.1 promote the new or improved health and safety policy throughout the organisation

4.2 apply **quality assurance requirements** to all **health and safety documentation**
Range:
Quality assurance requirements – consistent with the health and safety strategy
Health and safety documentation – relevant documents such as risk assessments, method statements and permits to work

4.3 **monitor** the implementation of the new or improved health and safety policy
Range:
Monitor – provide opportunity for feedback, respond to feedback, problem-solve.

4.4   review the impact of the new or improved health and safety policy

Unit 604   Organisational health and safety policy

Unit guidance

Examples of assessment types have been suggested at the front of this unit but centres should consider the widest range of appropriate methods available and adopt a holistic approach to assessment. The use of observations and recorded observations is encouraged wherever possible. The learner may be observed on-site by the assessor or an expert witness.

Communication knowledge requirements should be evidenced in the way(s) most appropriate for the learner and the context, such as a unit summary, reflective account or during a Professional discussion.

Evidence requirements

The learner will demonstrate stakeholder involvement as part of business planning in relation to the organisation's health and safety policy. Evidence of the learner's involvement in the organisation's health and safety policy may take different forms, depending on the organisation's structure, procedures and individual job roles.

Learning Outcome 1
There is no specific evidence guidance attached to this learning outcome.

Learning Outcome 2
There is no specific evidence guidance attached to this learning outcome.

Learning Outcome 3
The learner's critical review will include making suggestions about improvements to the organisation's health and safety policy and consideration of internal and external factors that could impact on proposed changes, such as resources, personnel and conflict of interest.
The learner will produce a health and safety policy for the organisation if none exists already.

Learning Outcome 4
There is no specific evidence guidance attached to this learning outcome.

IOSH competencies included in the evidence provided for this unit

Health and safety law
- Consider the spirit and intent of the law and apply good practice and occupational safety and health principle to reduce risk
- The health and safety policy should be developed to show consistency with:
  o business strategy
  o drivers and culture that supports productivity and success
- Must describe:
  o the intent of the organisation and its approach to health and safety
  o accountabilities and responsibilities
  o arrangements for delivering a safe operation
- Work with stakeholders to:
  o plan activities and assign responsibilities
  o develop safe working practices
  o implement management procedures

- o apply a plan-do-check framework
- Develop a continuous improvement process and:
- o gather information against performance strategies
- o interpret data
- o monitor the effectiveness of controls
- o develop technology and apply systems to support this process
- Establish a quality management process:
- o develop a quality improvement process to enable continuous improvement
- o complete self-assessment reports
- o develop a quality improvement plan designed to provide a clear understanding of the inter-related process impacting on organisational and operational excellence

Culture

- Work cross-functionally in the organisation as a critical business partner, fostering a culture that drives a positive safety culture
- Understand what vulnerable workers are present in the workforce and what additional controls are necessary to ensure they are kept safe
- Ensure that adequate facilities are in place for workers
- Deliver management systems that promote and protect worker wellbeing
- Analyse, evaluate, interpret, and determine the concepts of knowledge employees at all levels of the organisation need to know to manage the risk profile of the organisation effectively
- Know the tenets of effective contractor management including authorisation and management procedures and ensure the competence of contractors to carry out the work safely
- Reflect on changes impacting on the organisation and respond by recommending modifications to safety and health management systems and risk control strategies.

Sustainability

- Be able to influence, support and implement strategies and plans that will be beneficial to the organisation
- Ensure diversity and inclusion in a wide range of safety and health business activities, development of wellness programmes, support and training to develop employees and provide progression opportunities.
- Respond to changing demographics in the workplace embracing diversity and inclusion, disability and return to work and rehabilitation processes
- Develop and deliver social sustainability programmes that directly affect local communities; be clear about objectives and be able to leverage the organisation's brand, products and services and engage stakeholders effectively in support
- Play a leading part in financial sustainability of the organisation through development and implementation of health and safety management systems and processes.
- Play a part in ensuring that resources are obtained from socially and environmentally responsible sources
- Clearly identify any ethical issues, responsibilities and challenges that could compromise good occupational safety and health practice within the organisation

Strategy

- Identify and consider emerging issues and development opportunities, along with associated risks, while articulating a series of innovative and sustainable business options and recommendations
- Be cognisant with the organisation's approach to business; there should be a consideration of markets, customers, suppliers and wider sector considerations

- Advocate for diverse perspectives, model inclusive behaviour and promote and embrace progress in diversity and inclusion
- Demonstrate a 360-degree review and consideration that makes a substantial difference in the way in which the occupational safety and health strategy is developed
- Build an awareness of interactions and linkages across stakeholder groups to influence and have an impact on safety and health throughout the business
- Influence both internal and external stakeholders and build relationships to present long-term opportunities
- Create a vision and set out and communicate clear goals and plans for the future
- Represent mission, vision, and arguments for action suitable for a variety of audiences from the shop floor to the boardroom
- Participate in horizon scanning, gathering internal and external information on regulations, standards, and good practice which are important for developing business cases for safety and health performance improvement strategies
- Continuously engage in seeking out the latest thoughts regarding leadership and practice; use this information to educate and encourage co-workers to use the enhanced knowledge to transform the business and culture, continuously taking a proactive approach to shape a learning agenda

Planning

- Ensure realistic objectives are set and that the right deadlines, budgets and resources are put in place for effective delivery
- Ensure the plan delivers on requirements as this is a critical success factor for the occupational safety and health function and overall business
- Manage the financial resources of the occupational safety and health function across the business effectively and efficiently
- Be familiar with, and practiced in, budgetary process, profit loss and return on investment; these are critical competencies
- Define data needs and manage the collection and organisation of data effectively. Conduct data analysis and communicate outcomes
- Demonstrate the ability to make decisions on strategic and tactical issues

Leadership and management

- Utilise a range of leadership styles and approaches to lead on the development, function, and implementation of operational plans to deliver health and safety
- Determine the right structure to drive high impact initiatives, productivity and effectiveness
- Allocate resources, set and manage budgets and put in place the right resources or make appropriate recommendations
- Demonstrate confidence, optimism, perseverance, and personal resilience as they seek to use influence and ensure peers and stakeholders share and see the value in everything they do
- Inspire and motivate others
- Create a positive, sharing and enabling working environment
- Create plans for managing a range of occupational safety and health projects and programmes
- Scope, plan and communicate for change; assess the impact of that change on the business in safety and health terms
- Able to overcome differences of opinions relating to business issues
- Deploy a range of strategies and compromises that may achieve greater benefit for all concerned

Stakeholder management

- Find out stakeholders needs, expectations and motivations and build a rapport with strategic partners
- Use experience, training and knowledge and subject matter expertise to advise internal and external customers regarding the best way to undertake a series of activities to deliver on business intent
- Negotiate constructively to arrive at a win-win situation to achieve value-added results and outcomes

Personal Performance

- Understand, apply and work within legislative requirements, approved standards and company policy to ensure moral and social requirements of the occupational safety and health ethos, ensuring everyone has a right to work in a healthy and safe environment without risk or injury
- Undertake own self-development including an awareness of strengths, weaknesses, and opportunities
- Prioritise work and work on own initiative in a self-directed, autonomous manner; be able to work without guidance
- Generate commitment and enthusiasm from others to set and achieve challenging goals and objectives
- Continuous monitoring of results to ensure quality and delivery are maintained
- A desire to strive with others to improve productivity
- Investigate, assess and evaluate issues and events that have an impact on the business; use a range of tools and techniques to support the analysis to facilitate successful outcomes to problems
- Develop and embed approaches to innovative and creative working methods for improvement

Communication

- Ability to develop two-way communications
- Take on the role of trusted advisor within the organisation to promote, improve, maintain and enhance safety in daily operations
- Develop the ability to deliver positive feedback in a range of settings and situations
- Demonstrate active listening abilities with people in a range of situations and settings

Working with Others

- Develop an honest understanding of own values, desires and thought patterns, motivations, goals and ambitions
- Evaluate effect on internal and external customers from personal approach to situations
- Apply formal and common-sense approaches to business decision making; show an ability to interpret commercial information carefully, and apply strong business judgement in problem solving
- Listen and respond appropriately and see things from other perspectives
- Demonstrate total honesty, transparency, clarity, ethical behaviour and integrity in all aspects of business - this is critical for the individuals and the business
- Take direct responsibility for ensuring coaching and mentoring opportunities are always provided to support the learning of others; actively stretch those individuals' abilities outside their comfort zone and create opportunities for change, demonstrating a high-performance work ethic

Unit 605   Professional development and ethics in health and safety practice

Unit Level:	Level 6
GLH:	11
Unit Aim:	This unit enables learners to evaluate their personal competence in health and safety practice and reflect on skills or knowledge gaps. As they carry out research to inform their practice, learners will evaluate ideas and practices, making recommendations for development and improvements on an individual and organisational level.
	Learners must complete the set assessment tasks in the assignment pack to demonstrate competencies contained in the Institution of Occupational Safety and Health (IOSH) Competency Framework for Professional standards for safety and health and work.
	In completing the Continuing Professional Development (CPD) assessment task for this unit, learners are expected to draw on their learning from across the entire unit and to make relevant links to knowledge and skills demonstrated in other units.
	Assessment of this unit requires evidence to be collected over a period of 12 months. Please see the guidance for assessors for further details.
Assessment Types:	Learners must successfully complete an assignment for this unit, as detailed in the City & Guilds assignment document for this unit.
Summary of IOSH competencies in this unit:	Leadership and management, strategic planning and ensuring that any strategies or plans are sustainable and address health and safety law. Personal performance, communication, working with others and inclusive working practices.

Learning outcomes

The learner will:

1. be able to carry out research to improve professional health and safety practice
2. understand professional ethics in practice
3. understand diversity and inclusion in practice
4. be able to apply the principles of Continuing Professional Development (CPD) in the role

Learning outcome:

The learner will:

1. be able to carry out research to improve professional health and safety practice

Assessment criteria

The learner can:

1.1 conduct health and safety research in relation to an area of the organisation identified for improvement by:
   a. identifying a **rationale** and **justification** for the chosen area of research into health and safety
   b. using a range of published **sources**
   c. considering consider Political, Economic, Sociological, Technological, Legal and Environmental issues (PESTLE)

   Range:

   Rationale and justification - selecting an area of research as a result of an audit report, an incident that has occurred in your organisation or other organisational related issue.

   Sources – legislation, guidance, standards, outcomes of published relevant research, practice impacting the organisation.

1.2 critically evaluate the research findings to inform practice
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 evaluate the importance of codes of conduct and ethical practices for the individual and the organisation
2.2 evaluate how the organisation can apply the principles of ethical practices and decision-making
2.3 evaluate ethical issues, responsibilities and challenges in existing working practices in the organisation

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Learning outcome

The learner will:

3. understand diversity and inclusion in practice

Assessment criteria

The learner can:

3.1 critically evaluate the benefits that diversity and inclusion can add to the organisation
3.2 recommend suitable interventions to promote diversity and inclusion in the organisation

Learning outcome

The learner will:

4. be able to apply the principles of Continuing Professional Development (CPD) in the role

Assessment criteria

The learner can:

4.1 create a professional development plan to include technical, core and behavioural competencies
4.2 record outcomes of personal development activities
4.3 critically reflect on own Continuing Professional Development (CPD) and identify areas for development

Unit 605 Professional development and ethics in health and safety practice

Unit guidance

Centre should refer to the City & Guilds assignment for this unit. The assignment document contains the City & Guilds set assignment for learners, assessor guidance and the learner assessment record form which can be used for each task in the assignment.

Evidence requirements

The evidence for this unit should make relevant links to knowledge and skills demonstrated in other units. Assessment of the unit requires evidence to be collected over a period of 12 months.

Learning Outcome 1
Centres should refer to the City & Guilds assignment document for this unit which details the evidence requirements for this learning outcome.

Learning Outcome 2
Centres should refer to the City & Guilds assignment document for this unit which details the evidence requirements for this learning outcome.

Learning Outcome 3
Centres should refer to the City & Guilds assignment document for this unit which details the evidence requirements for this learning outcome.

Learning Outcome 4
Centres should refer to the City & Guilds assignment document for this unit which details the evidence requirements for this learning outcome.

IOSH competencies included in the evidence provided for this unit

Health and safety law
- Consider the spirit and intent of the law and apply good practice and occupational safety and health principle to reduce risk
- The health and safety policy should be developed to show consistency with:
o business strategy
o drivers and culture that supports productivity and success
- Must describe:
o the intent of the organisation and its approach to health and safety
o accountabilities and responsibilities
o arrangements for delivering a safe operation
- Work with stakeholders to:
o plan activities and assign responsibilities
o develop safe working practices
o implement management procedures
o apply a plan-do-check framework
- Develop a continuous improvement process and:
o gather information against performance strategies
o interpret data
o monitor the effectiveness of controls

- o develop technology and apply systems to support this process
- Establish a quality management process:
- o develop a quality improvement process to enable continuous improvement
- o complete self-assessment reports
- o develop a quality improvement plan designed to provide a clear understanding of the inter-related process impacting on organisational and operational excellence

Culture

- Work cross-functionally in the organisation as a critical business partner, fostering a culture that drives a positive safety culture
- Understand what vulnerable workers are present in the workforce and what additional controls are necessary to ensure they are kept safe
- Ensure that adequate facilities are in place for workers
- Deliver management systems that promote and protect worker wellbeing
- Analyse, evaluate, interpret and determine the concepts of knowledge employees at all levels of the organisation need to know to manage the risk profile of the organisation effectively
- Know the tenets of effective contractor management including authorisation and management procedures and ensure the competence of contractors to carry out the work safely
- Reflect on changes impacting on the organisation and respond by recommending modifications to safety and health management systems and risk control strategies.

Strategy

- Develop and contribute to inclusive workplace relationships
- Advocate for diverse perspectives, model inclusive behaviour and promote and embrace progress in diversity and inclusion

Leadership and management

- Utilise a range of leadership styles and approaches to lead on the development, function and implementation of operational plans to deliver health and safety
- Determine the right structure to drive high impact initiatives, productivity and effectiveness
- Allocate resources, set and manage budgets and put in place the right resources or make appropriate recommendations
- Demonstrate confidence, optimism, perseverance and personal resilience as they seek to use influence and ensure peers and stakeholders share and see the value in everything they do
- Inspire and motivate others
- Create a positive, sharing and enabling working environment
- Create plans for managing a range of occupational safety and health projects and programmes
- Scope, plan and communicate for change; assess the impact of that change on the business in safety and health terms
- Able to overcome differences of opinions relating to business issues
- Deploy a range of strategies and compromises that may achieve greater benefit for all concerned

Stakeholder management

- Find out stakeholders needs, expectations and motivations and build a rapport with strategic partners

- Use experience, training and knowledge and subject matter expertise to advise internal and external customers regarding the best way to undertake a series of activities to deliver on business intent
- Negotiate constructively to arrive at a win-win situation to achieve value-added results and outcomes

Personal performance

- Understand, apply and work within legislative requirements, approved standards and company policy to ensure moral and social requirements of the occupational safety and health ethos, ensuring everyone has a right to work in a healthy and safe environment without risk or injury
- Undertake own self-development including an awareness of strengths, weaknesses and opportunities
- Prioritise work and work on own initiative in a self-directed, autonomous manner; be able to work without guidance
- Generate commitment and enthusiasm from others to set and achieve challenging goals and objectives
- Continuous monitoring of results to ensure quality and delivery are maintained
- A desire to strive with others to improve productivity
- Investigate, assess and evaluate issues and events that have an impact on the business; use a range of tools and techniques to support the analysis to facilitate successful outcomes to problems
- Develop and embed approaches to innovative and creative working methods for improvement

Communication

- Ability to develop two-way communications
- Take on the role of trusted advisor within the organisation to promote, improve, maintain and enhance safety in daily operations
- Develop the ability to deliver positive feedback in a range of settings and situations
- Demonstrate active listening abilities with people in a range of situations and settings.

Working with others.

- Develop an honest understanding of own values, desires and thought patterns, motivations, goals and ambitions
- Evaluate effect on internal and external customers from personal approach to situations
- Apply formal and common-sense approaches to business decision making; show an ability to interpret commercial information carefully, and apply strong business judgement in problem solving
- Listen and respond appropriately and see things from other perspectives
- Demonstrate total honesty, transparency, clarity, ethical behaviour and integrity in all aspects of business - this is critical for the individuals and the business
- Take direct responsibility for ensuring coaching and mentoring opportunities are provided to support the learning of others; actively stretch those individuals' abilities outside their comfort zone and create opportunities for change, demonstrating a high-performance work ethic

Unit 606   Systems monitoring and risk control

Unit Level:	Level 6
GLH:	13
Unit Aim:	In this unit, learners will develop systems to identify, analyse and integrate the management of health and safety risk into the organisation's business and processes.
Assessment Types:	Direct/recorded observation (DO) Witness testimony (WT) Candidate statement Professional discussion (PD) Recognition of Prior Learning (RPL) Product evidence
Summary of IOSH competencies in this unit:	Leadership and management, strategic planning and ensuring that any strategies or plans are sustainable and address health and safety law and the management of risks. Personal performance, communication, working with others and inclusive working practices

Learning outcomes

The learner will:

1. be able to identify hazards to health and safety in the workplace
2. be able to assess risks to health and safety
3. understand how to develop and implement reactive monitoring systems
4. understand how to develop and implement proactive monitoring systems
5. be able to develop a health and safety loss event reporting and recording system

Learning outcome:

The learner will:

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

Assessment criteria

The learner can:

1.1 identify all areas in the workplace where hazards may occur
1.2 identify **who** could be impacted by the hazards in each work area
   Range:
   Who – employees, contractors, visitors, people at special risk, such as new and expectant mothers.
1.3 identify which **activities** impact on hazards in the workplace
   Range:
   Activities – work methods, processes, vehicles, environmental, work equipment

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1.4 use appropriate measuring methods to evaluate the hazards identified.
1.5 maintain records of the hazards identified in detail, to meet:
- a. statutory requirements
- b. organisational requirements
- c. 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:
- a. employees
- b. others who may be affected
2.3 **assess risks** to health and safety of:
- a. employees
- b. others who may be affected

Range:
Assess risks – determine risks to the health and safety of affected people and prioritise the health and safety risks identified.

2.4 identify any additional or improved risk control measures required
2.5 identify the resources needed to implement the required risk control measures
2.6 evaluate the cost-effectiveness of the required risk control measures
2.7 report to **managers** the risk control measures required to mitigate risks identified

Range:
Managers – directors, senior, line, functional, technical, employee representatives.

2.8 communicate the identified risk control measures to the organisation
2.9 maintain records of the risk assessment in detail, to meet:
- a. statutory requirements
- b. organisational requirements
- c. industry best practice

Learning outcome

The learner will:

3. understand how to develop and implement reactive monitoring systems

Assessment criteria

The learner can:

3.1 explain reactive health and safety monitoring systems in the organisation:
- a. fault-tree analysis
- b. events and causal factors analysis
- c. responding to the needs of others
- d. statistical and epidemiological analyses of data
- e. histograms, pie charts and line graphs

Range:

Needs of others – disabilities, special considerations, additional learning needs, language barriers.

3.2 explain the investigation process for health and safety loss events in relation to:
    a. types
    b. causes
    c. impacts
    d. systems and procedures.

3.3 explain reporting and recording procedures for health and safety loss events

3.4 make recommendations from the outcomes of reactive performance monitoring to:
    a. **internal stakeholders**
    b. **external stakeholders**
    Range:
    Internal stakeholders – directors, senior, line, functional and technical managers, employee representatives and employees
    External stakeholders – regulatory authorities or any other relevant stakeholders

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Learning outcome

The learner will:

4. understand how to develop and implement proactive monitoring systems

Assessment criteria

The learner can:

4.1 explain proactive health and safety **monitoring systems** in the organisation
    Range:
    Monitoring – workplace inspections, activity observations, surveys, sampling.

4.2 explain the rationales for proactive monitoring systems for health and safety

4.3 explain how to respond to the **needs of others** in relation to health and safety
    Range:
    Needs of others – disabilities, special considerations, additional learning needs, language barriers.

4.4 describe external factors influencing proactive health and safety monitoring systems

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Learning outcome

The learner will:

5. be able to develop a health and safety loss event reporting and recording system

Assessment criteria

The learner can:

5.1 develop health and safety loss event investigation systems and procedures

5.2 identify which health and safety loss events require a formal investigation

5.3 carry out statistical analysis of health and safety loss event data

5.4 carry out an epidemiological analysis of health and safety loss event data

5.5 conduct a health and safety loss investigation

5.6 keep **records** of health and safety investigations
    Range:

Records – accident book, investigation reports, checklists, communication about investigations.

5.7   advise **stakeholders** of loss event investigation outcomes

5.8   advise **stakeholders** of possible breaches of statutory and common law requirements

Range:

Stakeholders – directors, senior, line, functional and technical managers, employee representatives and employees.

Unit 606   Systems monitoring and risk control

Unit guidance

Examples of assessment types have been suggested at the front of this unit but centres should consider the widest range of appropriate methods available and adopt a holistic approach to assessment. The use of observations and recorded observations is encouraged wherever possible.

The learner may be observed on-site by the assessor or an expert witness.

Communication knowledge requirements should be evidenced in the way(s) most appropriate for the learner and the context, such as a unit summary, reflective account or during a Professional discussion.

This unit requires a strategy or system to be developed, suitable for observations and Personal Discussion. Centres are encouraged to use any suitable methods available to assess competence.

Evidence requirements

Learning Outcome 1

There is no specific evidence guidance attached to this learning outcome.

Learning Outcome 2

In considering potential risk control measures, learners will recognise where it would be necessary to consult industry specialists or bring in other forms of assistance.

Learning Outcome 3

The learner will show understanding of effective verbal and written communication in relation to reactive monitoring systems.

Learning Outcome 4

The learner will show understanding of effective verbal and written communication in relation to proactive monitoring systems.

For AC 4.4, the learner will refer to health and safety statutory requirements, quality management requirements and industry best practice for proactive monitoring systems and documentation.

Learning Outcome 5

Achievement of AC 5.2 could be evidenced through professional discussion, and through evidence presented for AC 5.5.

IOSH competencies included in the evidence provided for this unit

Strategy
- Identify and consider emerging issues and development opportunities, along with associated risks, while articulating a series of innovative and sustainable business options and recommendations
- Be cognisant with the organisation's approach to business; there should be consideration of markets, customers, suppliers and wider sector considerations
- Demonstrate a 360-degree review and consideration that makes a substantial difference in the way in which the occupational safety and health strategy is developed
- Build an awareness of interactions and linkages across stakeholder groups to influence and have an impact on safety and health throughout the business
- Influence both internal and external stakeholders and build relationships to present long-term opportunities

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- Create a vision and set out and communicate clear goals and plans for the future
- Represent mission, vision, and arguments for action, suitable for a variety of audiences from the shop floor to the boardroom
- Participate in horizon scanning, gathering internal and external information on regulations, standards, and good practice which are important for developing business cases for safety and health performance improvement strategies
- Continuously engage in seeking out the latest thoughts regarding leadership and practice; use this information to educate and encourage co-workers to use the enhanced knowledge to transform the business and culture, continuously taking a proactive approach to shape a learning agenda

Planning

- Ensure realistic objectives are set and that the right deadlines, budgets and resources are put in place for effective delivery
- Ensure the plan delivers on requirements as this is a critical success factor for the occupational safety and health function and overall business
- Manage the financial resources of the occupational safety and health function across the business effectively and efficiently
- Be familiar with, and practiced, in budgetary process, profit loss and return on investment; these are critical competencies
- Define data needs and manage the collection and organisation of data effectively. Conduct data analysis and communicate outcomes
- Demonstrate the ability to make decisions on strategic and tactical issues

Leading

- Utilise a range of leadership styles and approaches to lead on the development, function and implementation of operational plans to deliver health and safety
- Determine the right structure to drive high impact initiatives, productivity and effectiveness
- Allocate resources, set and manage budgets and put in place the right resources or make appropriate recommendations
- Demonstrate confidence, optimism, perseverance and personal resilience as they seek to use influence and ensure peers and stakeholders share and see the value in everything they do
- Inspire and motivate others
- Create a positive, sharing and enabling working environment
- Create plans for managing a range of occupational safety and health projects and programmes
- Scope, plan and communicate for change and assess the impact of that change in safety and health terms on the business
- Able to overcome differences of opinions relating to business issues
- Deploy a range of strategies and compromises that may achieve greater benefit for all concerned

Risk Management

- Proactively and continuously scan the external market for their industry for unexpected or emerging threats
- Monitor organisational proposals for changes in operation or structure affected
- Define risks and how they should be scaled through the organisation to ensure appropriate measures are in place
- Complete regular reviews to identify any significant changes and new risk
- Be able to demonstrate effective use of risk-related data

- Be able to use a range of qualitative and quantitative approaches to assessing risk; these must include identification and application of different assessment methodologies
- Be able to explain a range of factors that can influence the perception of risk
- Use risk prioritisation methods to inform action plans and control decision and management strategies
- Create a business case to support proposed interventions
- Develop mitigation strategies including the proportionate allocation of resources to control risks
- Use a range of resources to justify mitigation recommendations and overall business improvements ensuring they are proportional to the risk in likelihood and severity
- Establish a risk reporting system that aligns with the organisational structure
- Provide detailed reports of the impact of risks on the business
- Be able to escalate unexpected, unanticipated or emerging risks urgently
- Evaluate the interdependence of risks and those in the rest of the organisation.
- Understand and facilitate the integration of occupational health risk management into the organisation management systems
- Contribute to, and ensure the co-ordination of, business continuity and crisis management strategies.

Sustainability

- Be able to influence, support and implement strategies and plans that will be beneficial to the organisation
- Ensure diversity and inclusion in a wide range of safety and health business activities, development of wellness programmes, support and training to develop employees and provide progression opportunities
- Respond to changing demographics in the workplace, embracing diversity and inclusion, disability and return to work and rehabilitation processes
- Develop and deliver social sustainability programmes that directly affect local communities; be clear about objectives and be able to leverage the organisation's brand, products and services and engage stakeholders effectively in support
- Play a leading part in financial sustainability of the organisation through development and implementation of health and safety management systems and processes
- Play a part in ensuring that resources are obtained from socially and environmentally responsible sources
- Clearly identify any ethical issues, responsibilities and challenges that could compromise good occupational safety and health practice within the organisation

Stakeholder Management

- Find out stakeholders needs, expectations and motivations and build a rapport with strategic partners
- Use experience, training and knowledge and subject matter expertise to advise internal and external customers regarding the best way to undertake a series of activities to deliver on business intent
- Negotiate constructively to arrive at a win-win situation to achieve value-added results and outcomes

Personal performance

- Understand, apply and work within legislative requirements, approved standards and company policy to ensure moral and social requirements of the occupational safety and health ethos, ensuring everyone has a right to work in a healthy and safe environment without risk or injury

- Undertake own self-development including an awareness of strengths, weaknesses and opportunities
- Prioritise work and work on own initiative in a self-directed, autonomous manner; be able to work without guidance
- Generate commitment and enthusiasm from others to set and achieve challenging goals and objectives
- Continuous monitoring of results to ensure quality and delivery are maintained
- A desire to strive with others to improve productivity
- Investigate, assess and evaluate issues and events that have an impact on the business; use a range of tools and techniques to support the analysis to facilitate successful outcomes to problems
- Develop and embed approaches to innovative and creative working methods for improvement

Communication
- Ability to develop two-way communications
- Take on the role of trusted advisor within the organisation to promote, improve, maintain and enhance safety in daily operations
- Develop the ability to deliver positive feedback in a range of settings and situations
- Demonstrate active listening abilities with people in a range of situations and settings.

Working with others
- Develop an honest understanding of own values, desires and thought patterns, motivations, goals and ambitions
- Evaluate effect on internal and external customers from personal approach to situations
- Apply formal and common-sense approaches to business decision making; show an ability to interpret commercial information carefully, and apply strong business judgement in problem solving
- Listen and respond appropriately and see things from other perspectives
- Demonstrate total honesty, transparency, clarity, ethical behaviour and integrity in all aspects of business - this is critical for the individuals and the business
- Take direct responsibility for ensuring coaching and mentoring opportunities are provided to support the learning of others; actively stretch those individuals' abilities outside their comfort zone and create opportunities for change, demonstrating a high-performance work ethic

Unit 607 Organisational health and safety strategy

Unit Level:	Level 6
GLH:	11
Unit Aim:	This unit will enable learners to demonstrate knowledge and skills in the planning and implementation of a health and safety strategy that mitigates risks, meets organisational needs and meets stakeholder requirements.
Assessment Types:	Direct/recorded observation (DO) Witness testimony (WT) Candidate statement Professional discussion (PD) Recognition of Prior Learning (RPL)
Summary of IOSH competencies in this unit:	Leadership and management, strategic planning, incident management and ensuring that any strategies or plans are sustainable and address health and safety law. Personal performance, communication, working with others and inclusive working practices.

Learning outcomes

The learner will:

1. understand how to prepare a health and safety strategy for the organisation
2. be able to plan a change process for the health and safety strategy
3. be able to develop a plan to promote a health and safety culture in the organisation
4. be able to implement a plan to promote a health and safety strategy in the organisation

Learning outcome:

The learner will:

1. understand how to prepare a health and safety strategy for the organisation

Assessment criteria

The learner can:

1.1 determine the **requirements** of the health and safety strategy for the organisation
   Range:
   Requirements – vision and goals, legal requirements, sustainability, horizon scanning and gathering of information, communication and consultation.
1.2 determine the **components** of the health and safety strategy
   Range:
   Components – structures, systems, processes, business plans, risk mitigation.
1.3 evaluate the **change factors** impacting on the health and safety strategy in the organisation
   Range:

Change factors – emerging trends, issues and development opportunities, associated risks, stakeholder perspectives.

Learning outcome:

The learner will:

2. be able to plan a change process for the health and safety strategy

Assessment criteria

The learner can:

2.1 identify potential changes needed to the health and safety strategy for the organisation
2.2 assess the potential impact of the proposed changes on organisational resources and structures, taking into consideration:
   a. opportunities
   b. obstacles
2.3 develop processes for maximizing opportunities and minimizing obstacles related to the proposed change process
2.4 conduct an analysis of the health and safety competence requirements of the organisation in the context of:
   a. functions
   b. activities
   c. tasks
   d. job roles or responsibilities

Learning outcome

The learner will:

3. be able to develop a plan to promote a health and safety culture in the organisation

Assessment criteria

The learner can:

3.1 assess the current health and safety climate in the organisation
3.2 identify where improvements and changes are required to the health and safety climate
3.3 develop a **plan** to promote and implement a health and safety culture within the organisation
   Range:
   Plan – an action plan that includes the advantages and legal necessities of following health and safety procedures; suitable performance measures and review dates; uses current sources of information and observation of the underlying indicators of the health and safety culture.

Learning outcome

The learner will:

4. be able to implement a plan to promote a health and safety strategy in the organisation

Assessment criteria

The learner can:

4.1 **consult** with stakeholders on the health and safety strategy
   Range:
   Consult – encourage creative ideas and innovation, review opportunities for further improvements and collaboration, and identify best practice.

4.2 identify resources needed to implement the health and safety strategy, including:
   a. budget
   b. timescales
   c. staff availability
   d. competencies
   e. training and development

4.3 communicate the health and safety strategy with stakeholders in the organisation

4.4 **monitor** the effectiveness of the health and safety strategy
   Range:
   Monitor – determining the effectiveness by referring to relevant factors such as levels of compliance, incident rates, putting a continuous development process in place.

Unit 607 Organisational health and safety strategy

Unit guidance

Examples of assessment types have been suggested at the front of this unit but centres should consider the widest range of appropriate methods available and adopt a holistic approach to assessment. The use of observations and recorded observations is encouraged wherever possible.

The learner may be observed on-site by the assessor or an expert witness.

Communication knowledge requirements should be evidenced in the way(s) most appropriate for the learner and the context, such as a unit summary, reflective account or during a Professional discussion.

Evidence requirements

It is accepted that the learner might not be directly involved in final decision-making regarding the organisation's health and safety strategy. The evidence should nevertheless show the learner's involvement and links to relevant stakeholders, as appropriate to their role in the organisation.

Learning Outcome 1
There is no specific evidence guidance attached to this learning outcome.

Learning Outcome 2
In achieving AC 2.4, the learner will recommend the implementation of training where competences are found to be lacking in the organisation. Evidence for this criterion can be cross referenced from relevant evidence in other units.

Learning Outcome 3
There is no specific evidence guidance attached to this learning outcome.

Learning Outcome 4
There is no specific evidence guidance attached to this learning outcome.

IOSH competencies included in the evidence provided for this unit

Risk Management
- Proactively and continuously scan the external market for their industry for unexpected or emerging threats
- Monitor organisational proposals for changes in operation or structure affected
- Define risks and how they should be scaled through the organisation to ensure appropriate measures are in place
- Complete regular reviews to identify any significant changes and new risk
- Be able to demonstrate effective use of risk-related data
- Be able to use a range of qualitative and quantitative approaches to assessing risk; these must include identification and application of different assessment methodologies
- Be able to explain a range of factors that can influence the perception of risk
- Use risk prioritisation methods to inform action plans and control decision and management strategies
- Create a business case to support proposed interventions
- Develop mitigation strategies including the proportionate allocation of resources to control risks

- Use a range of resources to justify mitigation recommendations and overall business improvements ensuring they are proportional to the risk in likelihood and severity
- Establish a risk reporting system that aligns with the organisational structure
- Provide detailed reports of the impact of risks on the business
- Be able to escalate unexpected, unanticipated or emerging risks urgently
- Evaluate the interdependence of risks and those in the rest of the organisation.
- Understand and facilitate the integration of occupational health risk management into the organisation management systems
- Contribute to, and ensure the co-ordination of, business continuity and crisis management strategies.

Incident Management

- Be able to apply different procedures to deal with incidents of differing severity
- Have procedures in place to deal with casualties, scene preservation and implement the reporting and investigation procedure
- Identify stakeholders and engage them appropriately in the investigation
- Identify direct and indirect causes of incidents; identify missing information and assess possible improvements to risk controls and management systems
- Prepare reports, applying professional and legal standards
- Identify the full range of documentary evidence that would support a legal defence
- Undertake a cost analysis to understand the impact of the incident on the business

Culture

- Work cross-functionally in the organisation as a critical business partner, fostering a culture that drives a positive safety culture
- Understand what vulnerable workers are present in the workforce and what additional controls are necessary to ensure they are kept safe
- Ensure that adequate facilities are in place for workers
- Deliver management systems that promote and protect worker wellbeing
- Analyse, evaluate, interpret, and determine the concepts of knowledge employees at all levels of the organisation need to know to manage the risk profile of the organisation effectively
- Know the tenets of effective contractor management including authorisation and management procedures and ensure the competence of contractors to carry out the work safely
- Reflect on changes impacting on the organisation and respond by recommending modifications to safety and health management systems and risk control strategies

Sustainability

- Be able to influence, support and implement strategies and plans that will be beneficial to the organisation
- Ensure diversity and inclusion in a wide range of safety and health business activities, development of wellness programmes, support and training to develop employees and provide progression opportunities.
- Respond to changing demographics in the workplace, embracing diversity and inclusion, disability and return to work and rehabilitation processes
- Develop and deliver social sustainability programmes that directly affect local communities; be clear about objectives and be able to leverage the organisation's brand, products and services and engage stakeholders effectively in support
- Play a leading part in financial sustainability of the organisation through development and implementation of health and safety management systems and processes

- Play a part in ensuring that resources are obtained from socially and environmentally responsible sources
- Clearly identify any ethical issues, responsibilities and challenges that could compromise good occupational safety and health practice within the organisation.

Strategy

- Identify and consider emerging issues and development opportunities, along with associated risks, while articulating a series of innovative and sustainable business options and recommendations
- Be cognisant with the organisation's approach to business; there should be consideration of markets, customers, suppliers and wider sector considerations
- Demonstrate a 360-degree review and consideration that makes a substantial difference in the way in which the occupational safety and health strategy is developed
- Advocate for diverse perspectives, model inclusive behaviour and promote and embrace progress in diversity and inclusion
- Build an awareness of interactions and linkages across stakeholder groups to influence and have an impact on safety and health throughout the business
- Influence both internal and external stakeholders and build relationships to present long-term opportunities
- Create a vision and set out and communicate clear goals and plans for the future
- Represent mission, vision, and arguments for action, suitable for a variety of audiences from the shop floor to the boardroom
- Participate in horizon scanning, gathering internal and external information on regulations, standards, and good practice which are important for developing business cases for safety and health performance improvement strategies
- Continuously engage in seeking out the latest thoughts regarding leadership and practice; use this information to educate and encourage co-workers to use the enhanced knowledge to transform the business and culture, continuously taking a proactive approach to shape a learning agenda

Planning

- Ensure realistic objectives are set and that the right deadlines, budgets and resources are put in place for effective delivery
- Ensure the plan delivers on requirements as this is a critical success factor for the occupational safety and health function and overall business
- Manage the financial resources of the occupational safety and health function across the business effectively and efficiently
- Be familiar with, and practiced in, budgetary process, profit loss and return on investment; these are critical competencies
- Define data needs and manage the collection and organisation of data effectively. Conduct data analysis and communicate outcomes
- Demonstrate the ability to make decisions on strategic and tactical issues

Leadership and management

- Utilise a range of leadership styles and approaches to lead on the development, function and implementation of operational plans to deliver health and safety
- Determine the right structure to drive high impact initiatives, productivity and effectiveness
- Allocate resources, set and manage budgets and put in place the right resources or make appropriate recommendations
- Demonstrate confidence, optimism, perseverance, and personal resilience as they seek to use influence and ensure peers and stakeholders share and see the value in everything they do

- Inspire and motivate others
- Create a positive, sharing and enabling working environment
- Create plans for managing a range of occupational safety and health projects and programmes
- Scope, plan and communicate for change; assess the impact of that change on the business in safety and health terms
- Able to overcome differences of opinions relating to business issues
- Deploy a range of strategies and compromises that may achieve greater benefit for all concerned

Personal performance

- Understand, apply and work within legislative requirements, approved standards and company policy to ensure moral and social requirements of the occupational safety and health ethos, ensuring everyone has a right to work in a healthy and safe environment without risk or injury
- Undertake own self-development including an awareness of strengths, weaknesses, and opportunities
- Prioritise work and work on own initiative in a self-directed, autonomous manner; be able to work without guidance
- Generate commitment and enthusiasm from others to set and achieve challenging goals and objectives
- Continuous monitoring of results to ensure quality and delivery are maintained
- A desire to strive with others to improve productivity
- Investigate, assess and evaluate issues and events that have an impact on the business; use a range of tools and techniques to support the analysis to facilitate successful outcomes to problems
- Develop and embed approaches to innovative and creative working methods for improvement

Communication

- Ability to develop two-way communications
- Take on the role of trusted advisor within the organisation to promote, improve, maintain, and enhance safety in daily operations
- Develop the ability to deliver positive feedback in a range of settings and situations
- Demonstrate active listening abilities with people in a range of situations and settings.

Working with others

- Develop an honest understanding of own values, desires and thought patterns, motivations, goals and ambitions
- Evaluate effect on internal and external customers from personal approach to situations
- Apply formal and common-sense approaches to business decision making; show an ability to interpret commercial information carefully, and apply strong business judgement in problem solving
- Listen and respond appropriately and see things from other perspectives
- Demonstrate total honesty, transparency, clarity, ethical behaviour and integrity in all aspects of business - this is critical for the individuals and the business
- Take direct responsibility for ensuring coaching and mentoring opportunities are always provided to support the learning of others; actively stretch those individuals' abilities outside their comfort zone and create opportunities for change, demonstrating a high-performance work ethic

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 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 online
- **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, quality assurance 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. 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

City & Guilds Level 6 Diploma in Occupational Health and Safety Practice (3655-06)

About City & Guilds

As the UK's leading vocational education organisation, City & Guilds is leading the talent revolution by inspiring people to unlock their potential and develop their skills. We offer over 500 qualifications across 28 industries through 8500 centres worldwide and award around two million certificates every year. City & Guilds is recognised and respected by employers across the world as a sign of quality and exceptional training.

City & Guilds Group

Our vision is for a world in which everyone has the skills and opportunities to succeed. We support over 4 million people each year to develop skills that help them into a job, develop on that job and to prepare for their next job. As a charity, we're proud that everything we do is focused on achieving this purpose. Whether that's through delivering work-based learning programmes that build competency, providing flexible pathways that support lifelong employability or through the City & Guilds Foundation funding initiatives that help remove barriers to work and learning.

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