

# Level 4 NVQ in Occupational Health and Safety Practice (3644-40)

## Standards and assessment requirements

QCA ref: 500/3478/9



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January 2008  
Version 1.0

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# **Level 4 NVQ in Occupational Health and Safety Practice (3644- 40)**

**Standards and assessment requirements**

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# 1 Introduction

## About this document

This document provides details that centres and candidates will need in order to assess, verify and collect evidence for this NVQ qualification and includes:

- the requirements for occupational competence for all those involved in the assessment process
- the assessment methods and requirements
- the national occupational standards and unit evidence requirements
- progression routes.

## Other sources of essential information

This document has been designed to be used with the City & Guilds NVQ Guide which is made up of:

- *Centre guide* – containing information specifically for centres
- *Candidate logbook* – containing information specifically for candidates and recording forms

Visit the City & Guilds website ([www.cityandguilds.com](http://www.cityandguilds.com)) for the latest versions of these documents.

There are also other City & Guilds documents which contain the latest information regarding the assessment of NVQs:

- *Providing City & Guilds qualifications – a guide to centre and qualification (scheme) approval*
- *Ensuring quality* - containing updates on assessment and policy issues
- *City & Guilds centre toolkit* – additional information on running City & Guilds qualifications is given in a CD-ROM, which links to the internet for access to the latest documents, reference materials and templates.

Details of general regulations, registration and certification procedures, including fees, are included in the City & Guilds *Catalogue*. This information appears on the online qualification administration service for City & Guilds approved centres, the Walled Garden, at [www.walled-garden.com](http://www.walled-garden.com).

If there are any differences between the *NVQ Centre Guide* or the *NVQ Candidate Guide* and this *Standards and Assessment Requirements* document, this document has the more up-to-date information.

## 2 ENTO and the National Occupational Standards

### Contacting the Standards Setting Body

<b>Name of SSB</b>	<b>ENTO</b>
Address	Kimberley House 47 Vaughan Way Leicester LE1 4SG
Telephone	0116 251 7979
Fax	0116 251 1464
E-mail	info@ento.co.uk
URL	www.ento.co.uk

### Apprenticeship framework

See the ENTO website for information on apprenticeship framework: [www.ento.co.uk](http://www.ento.co.uk)



### 3 Candidate entry and progression

#### **Candidate work role requirements**

This NVQ is for those working in any of the following roles or roles similar to these:

- Occupational Health and Safety Practitioners

#### **Candidate entry requirements**

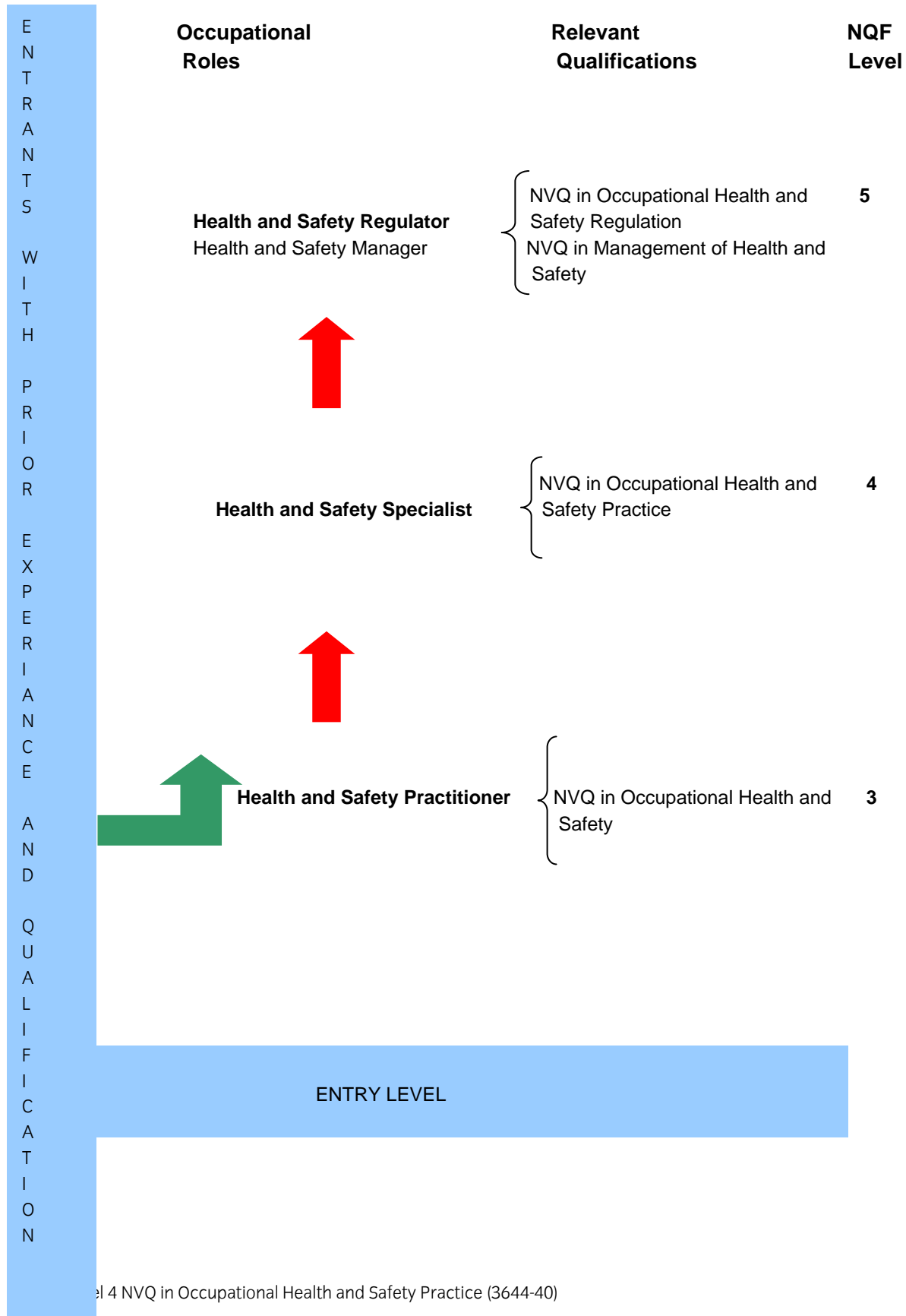
Generally, there is no prescribed prior knowledge, attainment or experience needed to gain access to this qualification. It is recommended that potential candidates are initially assessed on entry, so that levels of literacy, numeracy, communication skills and sector understanding can be determined. This initial assessment should consider previous qualifications and practical experience. Candidates will be employed within the industry or in a realistic working environment and as such would have been through a selection process.

#### **Age restrictions**

These NVQs are not approved for the use of those who are under 16 years of age. Otherwise, there are no formal entry requirements for candidates undertaking this qualification, however centres must ensure that candidates have the potential and opportunity to gain evidence for the qualification in the work place

For funding purposes, centres are reminded that candidates should not be entered for a qualification of the same type, level and content as that of a qualification they already hold

# 4 Health and Safety progression routes



## 5 Centre resource requirements

There are no additional resource requirements over and above what would be found in a normal workplace.

### Registration period

Please check the online catalogue for the latest information on length of registration and the last registration and certification dates.

Where the period of access to assessment offered by a centre is less than the period covered by the candidates' registration with City & Guilds, centres must ensure that this is understood by the candidates.

#### Additional Information

Award number	QCA reference	Last registration	Last certification
3644-40	500/3478/9	31/12/2010	31/12/2013

## 6 Assessment method requirements

### Assessment of performance and knowledge in the workplace

All evidence must be derived from performance in the workplace with no exceptions. Therefore no simulated working conditions have been specified in this Assessment Strategy as the outcomes can be demonstrated by a combination of other assessment methods drawn from:

- direct observation of the candidate in the workplace
- witness testimony by colleagues and line managers of the candidate's successful performance of activities in the workplace
- documentary and other product-based evidence
- a personal report by the candidate endorsed by colleagues.

### External Quality Control: Independent Assessment

This will require candidates to present a balance of evidence which must include a substantive component which has been assessed by someone who is independent from the candidate. 'Substantive' is defined here as a primary piece of outcome evidence for one or more units of competence. 'Someone independent' is defined here as an assessor who is not the candidate's primary assessor.

### The Requirements for Occupational Expertise of Assessors and Verifiers

Awarding Bodies must ensure that Assessors and Verifiers:

- 1 Have verifiable and relevant current industry experience and competence in the occupational working area at, or above, the level being assessed and evidence the quality of the occupational experience to ensure the credibility of the assessment judgements. Assessors' and verifiers' experience and competence could be evidenced by:
  - a curriculum vitae and references
  - b possession of a relevant health and safety qualification
  - c appropriate membership of a relevant professional institution
  - d Continuing Professional Development (CPD)
- 2 only assess or verify in their acknowledged area of professional competence
- 3 have appropriate knowledge and understanding of the current NOS
- 4 actively engage in relevant professional development
- 5 all assessors and verifiers must meet the required criteria in the qualifications regulators current regulation documentation.

## 7 Roles and occupational expertise requirements

### Assessor and Internal Verifier requirements

#### Assessors must be:

- able to demonstrate they possess practical and up-to-date knowledge of current working practices appropriate to the sector in which they are carrying out assessment practices OR they must be working in the appropriate sector itself;
- competent in the units they are assessing. This is shown through the assessor having achieved the award they are assessing OR provide quality evidence to the external verifier that they are able to make valid judgements of the competence of candidate's. This could be done through a combination of a) personal interview, b) review of employment histories and/or c) examination of the assessor's judgement during assessments
- must be appointed by an approved centre; and
- must have a working knowledge of awards and a full understanding of that part of the award for which they have responsibility
- in possession of the appropriate assessor award (s). As a minimum requirement, the assessor must be in possession of or actively working towards the units A1 (or qualification equivalent).

#### Internal verifiers must be:

- either working in the appropriate sector itself OR they must be able to demonstrate they possess practical and up-to-date knowledge of current working practices appropriate to the sector in which they are carrying out verification practices; centre
- appointed by an approved centre;
- must have a working knowledge of the awards they are internally verifying
- in possession of or actively pursuing the Unit V1 (or qualification equivalent)

#### External Verifiers must be:

- Familiar with the industry, and have an understanding of the technical processes and terminology used. The Awarding Body (or in the case of joint awarding arrangements, Cogent), through examination of relevant CV's and references will confirm this
- In possession of or actively pursuing the unit V2 (or qualification equivalent)

## **Witnesses**

There are no specific occupational expertise requirements for witnesses. Witness testimony can provide evidence to establish consistency in a candidate's practice and/or to evidence events which are difficult to plan to observe. In order that the assessor may make an informed judgement about the contribution of the witness' testimony to the overall evidence presented for a unit or qualification, a statement of the witness' status should be included in the candidate's portfolio of evidence. This can be done by using a Witness Status list (form NVQ5) or including it as part of the witness testimony itself. The statement should indicate the relationship between the candidate and the witness and should enable the assessor, by defining the role that the witness has played in the gathering of evidence (ie as colleague, worker from another organisation) to judge the extent of the witness' knowledge of the National Occupational Standards and understanding of the work roles involved.

Please note: The use of witness testimony from relatives or those with whom the candidate has a significant personal relationship is not acceptable.

## **Continuous Professional Development requirements**

City & Guilds expects all those with formal roles in the assessment or verification process to participate in a minimum of two CPD activities per annum. This can be to update either vocational skills / knowledge or assessment/verification skills/knowledge.

## 8 Recording assessment and evidence

### Common Evidence Requirements for Health and Safety NVQs

The standards require evidence of consistent occupational competence, as defined by the standards, to be demonstrated through relevant work activities. A variety of assessment methods should be used to confirm competence. Assessment of knowledge should be integrated with the assessment of performance wherever possible and appropriate.

### Assessment of performance and knowledge in the workplace

All evidence must be derived from performance in the workplace with no exceptions. Therefore no simulated working conditions have been specified in this Assessment Strategy as the outcomes can be demonstrated by a combination of other assessment methods drawn from:

- direct observation of the candidate in the workplace
- witness testimony by colleagues and line managers of the candidate's successful performance of activities in the workplace
- documentary and other product-based evidence
- a personal report by the candidate endorsed by colleagues
- questions
- discussion
- professional discussion.

This is not an exhaustive list and the Common Evidence Requirements are owned by the Awarding Bodies which will develop their own guidance documentation on evidence requirements.

### Confidentiality and privacy

The need to maintain confidentiality and privacy, when putting together portfolios, should be stressed to candidates where appropriate.

### Recording forms to use

City & Guilds has developed a set of *Recording forms* including examples of completed forms, for new and existing centres to use as appropriate (see NVQ Guide for centres and candidates - Recording forms, available on the City & Guilds website). Although it is expected that new centres will use these forms, centres may devise or customise alternative forms, which must be approved for use by the external verifier, before they are used by NVQ candidates and assessors at the centre. City & Guilds also endorses the electronic recording systems Quick Step and Paper Free.

## 9 The qualification structure and standards

### Qualification structure

There are ten mandatory units, as listed below.  
Candidates must complete all ten mandatory units.

QCA/SQA unit ref.	City & Guilds Unit no	ENTO unit number	Unit title
<b>Mandatory units</b>			
A/104/0321	611	HSP2	Promote a positive health and safety culture
F/104/0315	612	HSP3	Develop and implement the health and safety policy
J/104/0316	613	HSP4	Develop and implement effective communication systems for health and safety information
L/104/0317	614	HSP5	Develop and maintain individual and organisational competence in health and safety matters
R/104/0318	615	HSP6	Identify, assess and control health and safety risks
Y/104/0319	616	HSP7	Develop and implement proactive monitoring systems for health and safety
L/104/0320	617	HSP8	Develop and implement reactive monitoring systems for health and safety
R/104/0321	618	HSP10	Develop and implement health and safety emergency response systems and procedures
Y/104/0322	619	HSP11	Develop and implement health and safety review systems
D/104/0323	620	HSP13	Influence and keep pace with improvements in health and safety practice



## 10 About the standards

### Availability of standards

This document is available in two ways: either as a free downloadable document from the City & Guilds website, [www.cityandguilds.com](http://www.cityandguilds.com), or as a 'print on demand' document from our Publications department, for which there is a fee.

City & Guilds publications are available from

Publication Sales  
City & Guilds  
1 Giltspur Street  
London  
EC1A 9DD  
T +44(0)20 7294 2850  
F +44(0)20 7294 2400

### Mapping of old standards to new

This NVQ is based on new standards and replaces City & Guilds' Level 4 NVQs in Occupational Health and Safety Practice. Centres should use the APEL method to confirm transferability of any existing evidence to units in the new NVQ structure

This unit is for people with a role which involves:

- advocating a positive health and safety culture for your organisation
- developing and communicating a positive health and safety culture for your organisation
- working with key stakeholders in implementing a positive health and safety culture
- maintaining a positive health and safety culture in your organisation
- encouraging directors, senior, line, functional and technical managers and employee representatives of your organisation to lead by example on health and safety matters.

**Performance Criteria:**

You must:

**Gain commitment to a positive health and safety culture**

- 1 provide other people with sufficient and clear information about the benefits to your organisation of a positive health and safety culture
- 2 obtain and maintain the support of those in your organisation who can champion a positive health and safety culture
- 3 use appropriate opportunities to communicate information about a positive health and safety culture, and create new opportunities if necessary

**Develop and implement links with appropriate people and groups on health and safety matters**

- 4 identify the appropriate people and groups in your organisation
- 5 identify the appropriate people and groups external to your organisation
- 6 provide support and assistance to the appropriate people and groups
- 7 use appropriate opportunities to develop and implement additional links with people and groups.

**Knowledge requirements**

You need to be able to show that you have knowledge and understanding of:

**The nature and role of a positive health and safety culture within the organisation**

- 1 the health and safety culture within the organisation
- 2 the organisation's communication system which can be used to promote the benefits of a positive health and safety culture
- 3 the people and groups who may be affected by the health and safety process
- 4 how to engage people and groups in the health and safety process

**Principles and concepts**

5 providing effective information, advice and guidance to others

**External factors influencing a positive health and safety culture**

6 other sources of expertise and advice on health and safety matters.

This unit is for people with a role which involves:

- developing the health and safety policy of your organisation with respect to the statutory and organisational requirements
- advocating the health and safety policy to all key stakeholders in your organisation
- implementing the health and safety policy in your organisation
- working with key stakeholders in order to integrate health and safety into your organisation.

**Performance Criteria:**

You must:

**Define the statutory and practical health and safety requirements**

- 1 assess the structure of your organisation in relation to health and safety matters
- 2 access the existing health and safety systems and procedures of your organisation
- 3 evaluate the health and safety statutory and practical requirements relating to the input to your organisation of materials, equipment, goods, services and resources
- 4 evaluate the health and safety statutory and practical requirements relating to the conversion processes of your organisation
- 5 evaluate the health and safety statutory and practical requirements relating to the output from your organisation of products, services and inadvertent and/or unwanted and/or necessary goods, materials and waste of all types
- 6 evaluate the health and safety statutory and practical requirements relating to the employees, contractors and other people who may be affected by the activities of your organisation

**Develop the health and safety policy**

- 7 identify deficiencies in the current health and safety policy of your organisation
- 8 formulate changes to remedy the deficiencies in the health and safety policy of your organisation
- 9 Establish the resource constraints which may influence the health and safety policy of your organisation
- 10 consult with key stakeholders and provide opportunities to review the proposed health and safety policy of your organisation
- 11 establish a strategy for promoting a positive commitment to the health and safety policy among directors, senior, line, functional and technical managers and employee representatives of your organisation
- 12 advocate the adoption in your organisation of an improved health and safety policy

**Implement the health and safety policy**

- 13 specify the health and safety policy implementation programme for your organisation

- 14 provide support and assistance for the health and safety policy implementation process in your organisation
- 15 take effective action should problems arise during the health and safety policy implementation process in your organisation
- 16 make sure that there are adequate opportunities for feedback during the health and safety policy implementation process in your organisation, and respond appropriately to suggestions
- 17 minimise disruption to the organisation's activities during the implementation process
- 18 apply quality management requirements to all health and safety documentation.

### **Knowledge requirements**

You need to be able to show that you have knowledge and understanding of:

#### **The nature and role of the health and safety policy within the organisation**

- 1 your organisation's existing policies and procedures

#### **Principles and concepts**

- 2 the input-conversion-output model of organisational systems
- 3 the structure of formal and informal organisational systems
- 4 individual and group motivation

#### **External factors influencing the health and safety policy**

- 5 statutory health and safety requirements and industry best practice.

## HSP4/613

# Develop and implement effective communication systems for health and safety information

This unit is for people with a role which involves:

- evaluating health and safety information external to your organisation
- communicating to your organisation relevant health and safety information
- making sure that there is an effective health and safety communication system within your organisation
- making sure that relevant health and safety information from within your organisation is communicated to statutory authorities, local authorities and relevant groups and individuals.

### Performance Criteria:

You must:

### Develop and implement communication systems for health and safety information in your organisation

- 1 identify and evaluate proposed and new health and safety legislation, codes of practice, and standards of relevance to your organisation
- 2 evaluate developments in health and safety risk assessment and control procedures and practices, technical developments and best practice
- 3 develop and implement appropriate communication systems in your organisation for proposed and new health and safety legislation, codes of practice, standards, health and safety risk assessment and control procedures and practices, technical developments and best practice
- 4 keep a record of all relevant health and safety information relating to input materials, goods, equipment, services and resources bought in by your organisation
- 5 develop and implement appropriate communication systems for relevant health and safety information relating to input materials, goods, equipment, services and resources bought in by your organisation
- 6 identify, evaluate and communicate, as necessary, health and safety information and comment of relevance to your organisation

### Develop and implement communication systems for health and safety information within your organisation

- 7 develop and implement communication systems for the information resulting from the proactive and reactive monitoring and review of the health and safety performance of your organisation
- 8 develop and implement communication systems for the health and safety performance initiatives of your organisation
- 9 develop and implement communication systems for the health and safety promotion activities of your organisation

- 10 make sure that the health and safety culture and policy are kept in the forefront of the activities of your organisation

## **Develop and implement communication systems for health and safety information out of your organisation**

- 11 make sure that the statutory reporting of the health and safety information of your organisation to the regulatory and local authorities is carried out
- 12 make sure that the relevant health and safety information of your organisation is communicated, where appropriate, to trade associations, voluntary bodies, interested parties and individuals
- 13 make sure that the relevant health and safety information of your organisation for products, services and waste is given to the relevant recipients
- 14 make sure that the relevant health and safety standards and procedures of your organisation are provided to contractors.

### **Knowledge requirements**

You need to be able to show that you have knowledge and understanding of:

#### **Principles and concepts**

- 1 effective written and verbal communication
- 2 electronic information, retrieval, storage and communication systems

#### **External factors influencing effective communication systems for health and safety information**

- 3 health and safety risk assessment, control procedures and practices, technical developments and best practice
- 4 proposed and new health and safety legislation, codes of practice and standards
- 5 health and safety promotional activities relevant to the needs of an organisation
- 6 health and safety statutory reporting requirements for an organisation
- 7 health and safety statutory information requirements for the products, services and waste of an organisation
- 8 health and safety standards and procedures of an organisation that are relevant to the contractors used by the organisation.



## HSP5/614

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

This unit is for people with a role which involves:

- assessing the health and safety competence needs of your organisation
- assessing the health and safety competence needs of individuals in your organisation
- making sure that the identified health and safety competence needs of your organisation are addressed.

### Performance Criteria:

You must:

#### Conduct health and safety competence needs analysis

- 1 analyse the functions, activities, tasks and job roles of your organisation
- 2 identify the health and safety competence needs of the functions, activities, tasks and job roles of your organisation
- 3 carry out job safety analyses in your organisation

#### Identify and meet health and safety training needs

- 4 describe health and safety competencies in your organisation in terms of skills, knowledge and understanding
- 5 identify or design training courses to meet health and safety competence needs of a given group within your organisation and within agreed constraints
- 6 select suitable training delivery systems to meet the health and safety needs of individuals and groups in your organisation
- 7 monitor the effectiveness of training courses to make sure that the identified needs have been met.

### Knowledge requirements

You need to be able to show that you have knowledge and understanding of:

#### The nature and role of individual and organisational competence in health and safety matters within the organisation

- 1 the structure of the organisation with respect to functions, activities, tasks and jobs
- 2 the principles of competence, activity and task analysis
- 3 job safety analysis
- 4 the relationships between competencies, skills and qualifications

## **Principles and concepts**

- 5 training course design and delivery
- 6 the advantages and disadvantages of different methods of presentation
- 7 course evaluation and validation
- 8 preparing, delivering and marking tests and assignments
- 9 effective written and verbal communication

## **External factors influencing individual and organisational competence in health and safety**

- 10 health and safety statutory requirements and industry best practice
- 11 the quality management requirements for documentation.

This unit is for people with a role which involves:

- reviewing the workplace, activities and organisation to identify and evaluate the health and safety hazards to employees, other people who may be affected, and physical resources
- assessing the nature and extent of the hazards of the workplace, activities and organisation to determine the health and safety risks to employees, other people who may be affected, and physical resources
- determining relevant risk control measures and safe systems of work
- prioritising risks
- implementing risk control measures
- making sure that the risk control measures meet health and safety statutory requirements and industry best practice.

**Performance Criteria:**

You must:

**Identify and evaluate hazards to health and safety**

- 1 inspect the workplace to identify and evaluate the hazards to the safety of the employees, other people who may be affected, and physical resources
- 2 observe work activities to identify and evaluate the hazards to the safety of the employees, other people who may be affected, and physical resources
- 3 examine proposed and new workplaces, equipment, processes or activities in order to identify and evaluate the hazards to the safety of the employees, other people who may be affected and physical resources
- 4 inspect the workplace to identify and evaluate the hazards to the health of the employees and other people who may be affected
- 5 observe work activities to identify and evaluate the hazards to the health of the employees and other people who may be affected
- 6 examine proposed and new workplaces, equipment, processes and activities in order to identify and evaluate the hazards to the health of the employees and other people who may be affected
- 7 select and use appropriate measuring equipment
- 8 keep appropriate records of the hazards

**Determine safety and health risks**

- 9 determine risks to safety in the workplace to employees, other people who may be affected, and physical resources
- 10 determine risks to health in the workplace to employees and other people who may be affected, taking into account existing control measures, the population at risk, the nature of the harm and the likelihood of the occurrence
- 11 select and use suitable techniques to determine and analyse risks

- 12 decide the tolerability and/or acceptability of risk
- 13 select and use appropriate instruments and survey techniques to determine the exposure of employees and other people who may be affected
- 14 keep appropriate records of the risks

### **Determine and implement risk control measures and safe systems of work**

- 15 identify and evaluate the existing risk control measures and current systems of work in your organisation
- 16 recognise your own limits and where necessary bring in specialist or other assistance
- 17 identify any additional or improved risk control measures that may be needed in your organisation
- 18 identify and take into consideration the risk control measures required by health and safety statutory requirements relevant to your organisation and industry best practice
- 19 involve managers, employee representatives and/or employees in consultation about the risk controls
- 20 identify the resources needed, and cost-effectiveness, of the risk control measures needed
- 21 assist in the implementation of risk control measures in your organisation
- 22 make sure that all those people affected receive the necessary training to gain the competence required for the implementation of risk control measures
- 23 keep appropriate records of risk control measures.

### **Knowledge requirements**

You need to be able to show that you have knowledge and understanding of:

#### **The nature and role of the identification of health and safety hazards within the organisation**

- 1 health and safety hazards
- 2 risk assessment techniques
- 3 physical resources
- 4 instruments and survey techniques which may be used to determine the exposure of people who may be affected

#### **Principles and concepts**

- 5 the analysis techniques suitable for determining risks

#### **External factors influencing the identification of health and safety hazards**

- 6 health and safety statutory requirements
- 7 tolerability/acceptability of risk
- 8 quality management requirements for documentation

#### **The nature and role of health and safety risk control measures within the organisation**

- 9 risk control measures, including safe systems of work

#### **External factors influencing health and safety risk control methods**

- 10 risk control hierarchies
- 11 the risk control measures required by health and safety legislation and industry best practice.

This unit is for people with a role which involves:

- developing and implementing health and safety proactive performance monitoring systems
- reviewing and responding to health and safety proactive performance monitoring outcomes.

**Performance Criteria:**

You must:

**Develop and implement inspection and monitoring systems for health and safety proactive performance monitoring**

- 1 specify the nature and frequency of workplace inspection and monitoring systems and procedures designed to identify the extent of compliance with the health and safety standards and regulatory requirements of your organisation with respect to risk control
- 2 identify and ensure the competence of the people who will carry out the inspection and monitoring in your organisation
- 3 assist in the implementation of appropriate inspection and monitoring systems in your organisation
- 4 use appropriate monitoring equipment
- 5 review health and safety statutory records and records initiated by your organisation for proactive performance monitoring
- 6 make sure that minutes of meetings, decisions, recommendations and suggestions relevant to health and safety proactive performance monitoring are managed as is appropriate to your organisation
- 7 involve managers, employee representatives and employees in health and safety proactive monitoring systems and procedures
- 8 keep appropriate records of health and safety proactive monitoring systems and outcomes

**Keep key stakeholders informed of health and safety proactive performance monitoring outcomes**

- 9 inform directors, senior, line, functional and technical managers, employee representatives and employees of the outcomes of health and safety proactive performance monitoring of your organisation
- 10 prepare written and verbal reports of the outcomes of health and safety proactive performance monitoring of your organisation
- 11 interpret, to a lay audience, the outcomes of health and safety proactive performance monitoring of your organisation
- 12 make recommendations based on the outcomes of health and safety proactive performance monitoring of your organisation
- 13 respond to the requirements of the regulatory authorities in respect of the outcomes of health and safety proactive performance monitoring of your organisation.

## **Knowledge requirements**

You need to be able to show that you have knowledge and understanding of:

### **The nature and role of active health and safety monitoring systems within the organisation**

- 1 proactive monitoring systems for health and safety risk control measures
- 2 monitoring equipment
- 3 sampling routines
- 4 workplace inspections and activity observations

### **Principles and concepts**

- 5 effective written and verbal communication
- 6 how to respond to the needs of others

### **External factors influencing active health and safety monitoring systems**

- 7 health and safety statutory requirements and industry best practice for proactive monitoring systems and documentation
- 8 quality management requirements for documentation.

This unit is for people with a role which involves:

- developing and implementing health and safety reactive performance (loss event) monitoring systems
- developing and implementing loss event investigation systems and procedures
- investigating loss events
- reviewing and responding to health and safety reactive performance monitoring outcomes.

**Performance Criteria:**

You must:

**Develop and implement health and safety loss event reporting and recording systems**

- 1 identify health and safety loss events
- 2 devise suitable and appropriate health and safety loss event reporting forms
- 3 develop the health and safety loss event reporting and recording procedure
- 4 assist in the implementation of the health and safety loss event reporting and recording procedure
- 5 keep records of the health and safety loss events
- 6 make sure that the relevant health and safety loss events are reported to the regulatory authorities

**Develop and implement health and safety loss event investigation systems and procedures**

- 7 identify which health and safety loss events require a formal investigation
- 8 develop health and safety loss event investigation systems and procedures
- 9 assist in the implementation of health and safety loss event systems and procedures
- 10 facilitate health and safety loss event investigations
- 11 involve senior, line, functional and technical managers, employee representatives and employees in the health and safety loss event reporting, recording, and investigation systems
- 12 identify and advise directors, senior, line, functional and technical managers, employee representatives and employees of the risk assessments that need to be reviewed in the light of health and safety loss event investigations
- 13 identify and advise directors, senior, line, functional and technical managers, employee representatives and employees of the possible breaches of statutory and common law requirements following health and safety loss event investigations
- 14 manage the implementation of recommendations arising from health and safety loss event investigations
- 15 keep appropriate records of health and safety investigations



### **Carry out statistical and epidemiological analyses**

- 16 carry out statistical analyses and epidemiological analyses of the health and safety loss event data
- 17 present statistical and epidemiological analyses of health and safety loss event data of your organisation in numerical and graphical format
- 18 interpret statistical and epidemiological analyses
- 19 present to directors, senior, line, functional and technical managers, employee representatives and employees statistical and epidemiological analyses in a meaningful way
- 20 keep records of health and safety loss event statistical and epidemiological analyses

### **Keep stakeholders informed of health and safety reactive performance monitoring outcomes**

- 21 inform directors, senior, line, functional and technical managers, employee representatives and employees of the outcomes of health and safety reactive performance monitoring
- 22 prepare written and verbal reports of the outcomes of health and safety reactive performance monitoring
- 23 interpret to a lay audience the outcomes of health and safety reactive performance monitoring
- 24 make appropriate recommendations based on the outcomes of reactive performance monitoring
- 25 respond to the requirements of the regulatory authorities in respect of the outcomes of health and safety reactive performance monitoring.

### **Knowledge requirements**

You need to be able to show that you have knowledge and understanding of:

#### **The nature and role of reactive health and safety monitoring systems within the organisation**

- 1 health and safety loss events
- 2 reporting forms and recording procedures for health and safety loss events
- 3 the health and safety loss events that require formal investigation
- 4 health and safety loss event investigation systems and procedures

#### **Principles and concepts**

- 5 fault tree analysis and events and causal factors analysis
- 6 effective written and verbal communication
- 7 how to respond to the needs of others
- 8 statistical and epidemiological analyses of data, including the use of the normal and poisson distribution
- 9 histograms, pie charts, cusum charts and line graphs

#### **External factors influencing reactive health and safety monitoring systems**

- 10 health and safety statutory requirements regarding loss events and investigations.

# **HSP10/618      Develop and implement health and safety emergency response systems and procedures**

This unit is for people with a role which involves:

- planning emergency response systems and procedures
- implementing emergency response systems and procedures
- communicating emergency response information.

## **Performance Criteria:**

You must:

### **Develop and implement health and safety emergency response procedures**

- 1 develop and implement emergency procedures for your organisation (including, where necessary, both on-site and off-site), taking into account:
  - a relevant health and safety statutory requirements
  - b dealing with the ongoing effects of fatalities
  - c injury accidents
  - d dangerous occurrences
  - e fire and explosion
  - f toxic release
  - g major disaster
  - h environmental impact
  - i rescue and security alerts
- 2 involve managers, employee representatives and employees in the formulation and implementation of emergency procedures
- 3 make suitable first-aid provision and, where necessary, adequate medical provision for your organisation
- 4 make suitable fire fighting provision, including, where necessary, an on-site fire fighting service for your organisation
- 5 make sure that there are the necessary competencies in first aid and fire fighting in your organisation
- 6 identify the potential sources of an emergency in your organisation
- 7 prepare to respond to the requests of the regulatory and local authorities, the emergency services, other authorities, the media and other interested parties regarding an emergency in your organisation
- 8 keep adequate records of the health and safety emergency response procedures of your organisation

### **Develop and implement procedures for the control of a health and safety emergency**

- 9 develop and implement a procedure, or procedures, for your organisation, taking into account health and safety statutory requirements with respect to the control of an emergency, including effective communication both on-site and off-site and, where necessary, dealing with both on-site and off-site emergencies

- 10 make sure sufficient facilities, materials and equipment, including communication equipment, are available to deal with the control of an emergency in your organisation
- 11 detail, in the procedures dealing with the control of an emergency, the competencies required
- 12 establish effective liaison with the appropriate emergency services and the regulatory and local authorities
- 13 respond to the requests of the regulatory and local authorities and, where necessary, the requests of the media and other interested parties
- 14 make sure that the investigation procedure has been carried out
- 15 keep adequate records of the procedures for the control of a health and safety emergency in your organisation.

### **Knowledge requirements**

You need to be able to show that you have knowledge and understanding of:

#### **The nature and role of health and safety emergency response systems and procedures within the organisation**

- 1 emergency procedures
- 2 simulated emergency procedures

#### **Principles and concepts**

- 3 press releases and media management

#### **External factors influencing health and safety emergency response systems and procedures**

- 4 health and safety statutory requirements for:
  - a emergency procedures
  - b first aid and medical service provision
  - c fire precautions
  - d major disasters, ionising radiation incident and environmental impact events
  - e the control of an emergency.

This unit is for people with a role which involves:

- investigating the efficiency and cost-effectiveness of health and safety management systems
- developing and implementing changes to improve the efficiency and cost-effectiveness of health and safety management systems.

**Performance Criteria:**

You must:

**Make sure that each part of the health and safety management system is working as intended**

- 1 identify each part of the health and safety management system
- 2 define the factors and features that are essential for the effective working of each part of the health and safety management system
- 3 define the review frequency of each part of the health and safety management system
- 4 advise directors, senior, line, functional and technical managers of any changes that are required to improve the efficient and cost-effective working of each part of the health and safety management system
- 5 assist in the implementation of any necessary changes to each part of the health and safety management system
- 6 keep appropriate records of the review of each part of the health and safety management system

**Make sure that the health and safety management system as a whole is working as intended**

- 7 identify all components of the health and safety management system
- 8 define the factors and features that are essential for the effective working of the health and safety management system
- 9 define the review frequency of the health and safety management system
- 10 assess the efficiency and cost-effectiveness of the health and safety management system
- 11 advise directors, senior, line, functional and technical managers of any changes that are required to improve the efficient and cost-effective working of the health and safety management system
- 12 assist in the implementation of any necessary changes to the health and safety management system
- 13 keep records of the review of the health and safety management system.

## **Knowledge requirements**

You need to be able to show that you have knowledge and understanding of:

### **The nature and role of health and safety review systems within the organisation**

- 1 health and safety management systems
- 2 the factors and features that are essential for the efficient and cost-effective working of a health and safety management system
- 3 efficiency and cost-effectiveness of a health and safety management system

### **Principles and concepts**

- 4 how to respond to the needs of others
- 5 electronic and paper record systems

### **External factors influencing health and safety review systems**

- 6 health and safety statutory requirements and industry best practice
- 7 quality management requirements for documentation.

# **HSP13/620      Influence and keep pace with improvements in health and safety practice**

This unit is for people with a role which involves:

- reading and responding to health and safety literature in print and electronic form
- influencing professional colleagues and others on health and safety matters.

## **Performance Criteria:**

You must:

### **Identify new developments in health and safety**

- 1 identify appropriate sources of information and advice on the latest developments in health and safety
- 2 evaluate the impact on your organisation of developments in health and safety legislation, policies and practices
- 3 advocate the adoption in your organisation of new developments in health and safety matters
- 4 contribute to appropriate professional technical groups to enhance the development of health and safety
- 5 maintain your continuous professional development

### **Influence professional colleagues on health and safety matters**

- 6 identify appropriate opportunities to participate in professional discussion and reviews on best practice in health and safety matters
- 7 contribute to appropriate groups and committees engaged in developing health and safety practice
- 8 influence the policies and practices of appropriate professional organisations and groups on health and safety matters
- 9 exchange health and safety best practice with colleagues through meetings, publications, conferences and other appropriated methods
- 10 advocate to professional colleagues the adoption of industry best practice.

## **Knowledge requirements**

You need to be able to show that you have knowledge and understanding of:

### **The nature and role of improvements in health and safety practice within the organisation**

- 1 print-based and electronic sources of information and advice on health and safety matters

## **Principles and concepts**

- 2 effective written and verbal communication
- 3 electronic means of communication

**External factors influencing improvements in health and safety practice**

- 4 professional, non-professional and technical groups and organisations.

# 11 Glossary

This section provides explanations and definitions of some of the terms used in this unit.

## **Control(s)**

The means by which the risks identified are eliminated or reduced to acceptable levels.

## **Employer**

Wherever/whoever has responsibility for the workplace/work activity.

## **Hazard\***

A hazard is something with the potential to cause harm (this can include articles, substances, plant or machines, methods of work, the working environment and other aspects of work management).

\* Definition taken from: HSE “Management of health and safety at work – Approved Code of Practice & Guidance”. Reference L21 (ISBN 0-7176-2488-9).

## **Learner**

Any person in a workplace environment and undertaking learning, including those following a vocational or academic course.

## **Legislation**

The Health and Safety at Work Act 1974 is the main piece of legislation under which nearly all the other regulations are made. It is for this reason that only this piece of legislation is specifically referred to in this Unit.

There is an array of health and safety regulations and codes of practice which affect people at work. There are regulations for those who, for example, work with electricity, or work on construction projects, as well as regulations covering noise at work, manual handling, working with VDUs, or dealing with substances hazardous to health, etc. The specific requirements for all or any of these can be obtained from HSE local offices.

## **Near miss**

An unplanned event that had the potential to result in violence, injury, loss or damage but did not.

## **Other people**

Refers to everyone covered by the Health and Safety at Work Act including: visitors, members of the public, colleagues, contractors, clients, customers, patients and students.

## **Personal presentation**

This includes personal hygiene, use of personal protective equipment, clothing and accessories suitable to the particular workplace.

## **Physical resources**

Property, equipment, plant and machinery, etc.



### **Risk\***

A risk is the likelihood of potential harm from that hazard being realised.

The extent of the risk depends on:

- the likelihood of that harm occurring
- the potential severity of that harm, ie of any resultant injury or adverse health effect
- the population which might be affected by the hazard, ie the number of people who might be exposed.

\* Definition taken from: HSE “Management of health and safety at work – Approved Code of Practice & Guidance”. Reference L21 (ISBN 0-7176-2488-9)

### **Resources**

This includes: information, documentation, time, control measures, equipment and support (including specialist assistance).

### **Responsible person/people**

The person or people at work to whom any health, safety and welfare issues or hazards should be reported. This could be a supervisor, line manager or your employer.

### **Manager/Supervisor**

One who controls and or directs the work of others.

### **Training Provider**

An organisation or individual (usually external) responsible for providing the training, work experience, and/or formal assessment for the learner.

### **Worker**

A person performing services for an employer under a contract of service or an apprenticeship. Workers include; outworkers, those employed on a casual basis, in training and volunteers.

### **Workplace**

The single or multiple areas in which you carry out your work.

### **Working practices**

All activities, procedures, use of materials, substances or equipment and working techniques used in carrying out a work or job related task. This includes procedures for reporting hazards and unsafe working practices.

### **Workplace Instructions / Policies & Procedures**

An organisation’s instructions, method statements, safe systems of work, guidelines and processes on how to behave and perform tasks in the workplace.

### **POLICIES**

- A statement which directs the present and future decisions of an organisation.
- It is intended to influence and determine decisions, actions, and other matters.
- Typically, a policy designates a required process or procedure within an organisation.
- They are often initiated because of some external requirement.

## PROCEDURES

- A series of steps following in a regular definite order that implements a policy.
- A series of steps or instructions, describing a way of doing things.
- A series of steps to be performed in a regular definite order under specified conditions.
- Documented processes that are used when work affects more than one function or department of an organisation.
- A series of clearly defined steps (and decisions) that explains or describes how one goes about completing a task.

This includes the documentation prepared by the employer about the procedures to be followed for health, safety and welfare matters.

This may be the employer's safety policy, general health and safety statements and written safety procedures covering aspects of the workplace that should be drawn to the attention of employees and that of everyone covered by the Health and Safety at Work etc. Act 1974 (visitors, members of the public, colleagues, contractors, clients, customers, patients, students).

Instructions covering, for example:

- the use of safe working methods and equipment
- the safe use of hazardous substances
- smoking, eating, drinking and drugs
- what to do in the event of an emergency
- personal presentation.

## Accreditation, national frameworks and qualification level descriptors

Please visit the following websites to find information on accreditation, national frameworks and qualification level descriptors in each country.

<b>Nation</b>	<b>Who to contact</b>	<b>Website</b>
<b>England</b>	The Qualifications and Curriculum Authority	<a href="http://www.qca.org.uk">www.qca.org.uk</a>
<b>Scotland</b>	The Scottish Qualifications Authority	<a href="http://www.sqa.org.uk">www.sqa.org.uk</a>
<b>Wales</b>	The Department for Education, Lifelong Learning and Skills Wales	<a href="http://www.new.wales.gov.uk">www.new.wales.gov.uk</a>
<b>Northern Ireland</b>	The Council for Curriculum, Examinations and Assessment	<a href="http://www.ccea.org.uk">www.ccea.org.uk</a>



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**Published by City & Guilds**  
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**EC1A 9DD**  
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