OTHM LEVEL 3 TECHNICAL CERTIFICATE IN OCCUPATIONAL HEALTH AND SAFETY

Qualification Number: 603/7346/5

Specification | October 2021

Updated December 2023

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QUALIFICATION OBJECTIVES

The OTHM Level 3 Technical Certificate in Occupational Health and Safety qualification has been developed to enable learners to gain an understanding of health and safety practices within a working environment.

The course gives you an insight into how to manage workplace issues and covers the areas you would encounter in a health and safety role.

The aims of this programme will allow learners to:

- Understand the different roles and responsibilities for health and safety in the working environment

- Be aware of safety and welfare rules in the working environment

- Understand the role of safety management systems in organisations

- Be able to review health and safety procedures across an organisation

- Be able to communicate effectively when contributing to the maintenance of a healthy and safe work environment

- Understand the importance of working with others to maintain a healthy and safe workplace.

- Understand the principles of risk assessment

- Understand about risks and control methods for workplace hazards

- Know how to manage the effects of accidents and incidents

- Be able to monitor risks and incident management.

The qualification is suitable for those wishing to work in health and safety positions in a variety of sectors and will provide the real-world knowledge and skills that organisations and employer's demand.

Successful completion of this qualification will also equip learners with the underpinning knowledge and skills required to succeed in further studies.

Learners achieving the OTHM Level 3 Technical Certificate in Occupational Health and Safety can aspire to progress towards the OTHM Level 6 Diploma in Occupational Health and Safety qualification with appropriate experience.
Furthermore, learners will also have the opportunity to progress to the OTHM Level 7 Diploma in Occupational Health and Safety Management, and progress to an MSc with UK universities and our sister company London Graduate School.

QUALITY, STANDARDS AND RECOGNITIONS

OTHM Qualifications are approved and regulated by Ofqual (Office of Qualifications and Examinations Regulation). Visit the Register of Regulated Qualifications.
OTHM has progression arrangements with several UK universities that acknowledges the ability of learners after studying Level 3-7 qualifications to be considered for advanced entry into corresponding degree year/top-up and Master's/top-up programmes.

IOSH has approved the OTHM Level 3 Technical Certificate in Occupational Health and Safety for accreditation.
Individuals successfully completing the qualification will be eligible to apply for Affiliate / Technical (TechIOSH) membership (subject to meeting experiential criteria)

REGULATORY INFORMATION

Qualification Title	OTHM Level 3 Technical Certificate in Occupational Health and Safety
Ofqual Reference Number	603/7346/5
Regulation Start Date	08/04/2021
Operational Start Date	12/04/2021
Total Credit Value	34
Total Qualification Time (TQT)	340 hours
Guided Learning Hours (GLH)	220 hours
Sector Subject Area (SSA)	1.3 Health and social care
Overall Grading Type	Pass/Fail
Assessment Methods	Coursework
Language of Assessment	English

EQUIVALENCES

OTHM qualifications at Level 3 represent practical knowledge, skills, capabilities and competences that are assessed in academic terms as being equivalent to GCE AS/A Levels.

QUALIFICATION STRUCTURE

The OTHM Level 3 Technical Certificate in Occupational Health and Safety consists of 3 mandatory units for a combined total of 34 credits, 340 hours Total Qualification Time (TQT) and 220 Guided Learning Hours (GLH) for the completed qualification.

Unit Ref. No.	Unit title	Credit	TQT	GLH
L/618/6932	Health and Safety Principles in the Working Environment	10	100	60
R/618/6933	Maintaining a Healthy and Safe Working Environment	14	140	100
Y/618/6934	Principles of Risk and Incident Management in the Working Environment	10	100	60

DEFINITIONS

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 to be required in order for a Learner to achieve and demonstrate the achievement of the level of attainment necessary for the award of a qualification.

Total Qualification Time is comprised of the following two elements –
   a) *the number of hours which an awarding organisation has assigned to a qualification for Guided Learning, and*
   b) *an estimate of the number of hours a Learner will reasonably be likely to spend in preparation, study or any other form of participation in education or training, including assessment, which takes place as directed by – but, unlike Guided Learning, not under the Immediate Guidance or Supervision of – a lecturer, supervisor, tutor or other appropriate provider of education or training.*

(Ofqual 15/5775 September 2015)

Guided Learning Hours (GLH) is defined as the hours that a teacher, lecturer or other member of staff is available to provide immediate teaching support or supervision to a student working towards a qualification.

Credit value is defined as being the number of credits that may be awarded to a Learner for the successful achievement of the learning outcomes of a unit. One credit is equal to 10 hours of TQT.

ENTRY REQUIREMENTS

OTHM Level 3 qualifications can be offered to learners from age 16.

OTHM does not specify entry requirements for this qualification. OTHM will work with centres to ensure that learners admitted to the programme have sufficient capability at the right level to undertake the learning and assessment criteria. Some working knowledge of health and safety in the work environment would be advantageous.

OTHM centres must ensure learners are recruited with integrity onto appropriate qualifications that will meet their needs, enable and facilitate learning and achievement enable progression. The qualification is offered in English.

English requirements: If a learner is not from a majority English-speaking country must provide evidence of English language competency. For more information visit the English Language Expectations page on the OTHM website.

PROGRESSION

The OTHM Level 3 Technical Certificate in Occupational Health and Safety enables learners to progress into employment and or further study.

Learners achieving the OTHM Level 3 Technical Certificate in Occupational Health and Safety can aspire to progress towards the OTHM Level 6 Diploma in Occupational Health and Safety qualification with appropriate experience.

Furthermore, after successfully completing the OTHM Level 6 Diploma in Occupational Health and Safety qualification, learners will also have the opportunity to progress to the OTHM Level 7 Diploma in Occupational Health and Safety Management, and progress to an MSc with UK universities and our sister company London Graduate School.

IOSH ACCREDITATION

As this qualification is accredited by IOSH, eligible enrolled learners can access IOSH Student Membership for the duration of their studies and, on successful completion, they will meet the academic requirements for Affiliate / Technical (TechIOSH) membership (subject to meeting experiential criteria).
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.

DELIVERY OF OTHM QUALIFICATIONS

OTHM do not specify the mode of delivery for its qualifications, therefore OTHM centres are free to deliver this qualification using any mode of delivery that meets the needs of their Learners. However, OTHM centres should consider the learners' complete learning experience when designing the delivery of programmes.

OTHM centres must ensure that the chosen mode of delivery does not unlawfully or unfairly discriminate, whether directly or indirectly, and that equality of opportunity is promoted. Where it is reasonable and practicable to do so, it will take steps to address identified inequalities or barriers that may arise.

Guided Learning Hours (GLH) which are listed in each unit gives the Centres the number of hours of teacher-supervised or direct study time likely to be required to teach that unit.

ASSESSMENT AND VERIFICATION

All units within this qualification are internally assessed by the centre and externally verified by OTHM. The qualifications are criterion referenced, based on the achievement of all the specified learning outcomes.

To achieve a 'pass' for a unit, learners must provide evidence to demonstrate that they have fulfilled all the learning outcomes and meet the standards specified by all assessment criteria. Judgement that the learners have successfully fulfilled the assessment criteria is made by the Assessor.

The Assessor should provide an audit trail showing how the judgement of the learners' overall achievement has been arrived at.

Specific assessment guidance and relevant marking criteria for each unit are made available in the Assignment Brief document. These are made available to centres immediately after registration of one or more learners.

OPPORTUNITIES FOR LEARNERS TO PASS

Centres are responsible for managing learners who have not achieved a Pass for the qualification having completed the assessment. However, OTHM expects at a minimum, that centres must have in place a clear feedback mechanism to learners by which they can effectively retrain the learner in all the areas required before re-assessing the learner.

RECOGNITION OF PRIOR LEARNING AND ACHIEVEMENT

Recognition of Prior Learning (RPL) is a method of assessment that considers whether learners can demonstrate that they can meet the assessment requirements for a unit through knowledge, understanding or skills they already possess and do not need to develop through a course of learning.

RPL policies and procedures have been developed over time, which has led to the use of a number of terms to describe the process. Among the most common are:

- Accreditation of Prior Learning (APL)

- Accreditation of Prior Experiential Learning (APEL)

- Accreditation of Prior Achievement (APA)

- Accreditation of Prior Learning and Achievement (APLA)

All evidence must be evaluated with reference to the stipulated learning outcomes and assessment criteria against the respective unit(s). The assessor must be satisfied that the evidence produced by the learner meets the assessment standard established by the learning outcome and its related assessment criteria at that particular level.

Most often RPL will be used for units. It is not acceptable to claim for an entire qualification through RPL. Where evidence is assessed to be only sufficient to cover one or more learning outcomes, or to partly meet the need of a learning outcome, then additional assessment methods should be used to generate sufficient evidence to be able to award the learning outcome(s) for the whole unit. This may include a combination of units where applicable.

EQUALITY AND DIVERSITY

OTHM provides equality and diversity training to staff and consultants. This makes clear that staff and consultants must comply with the requirements of the Equality Act 2010, and all other related equality and diversity legislation, in relation to our qualifications.

We develop and revise our qualifications to avoid, where possible, any feature that might disadvantage learners because of their age, disability, gender, pregnancy or maternity, race, religion or belief, and sexual orientation.

If a specific qualification requires a feature that might disadvantage a particular group (e.g. a legal requirement regarding health and safety in the workplace), we will clarify this explicitly in the qualification specification.

UNIT SPECIFICATION

Unit 1. Health and Safety Principles in the Working Environment

Unit Reference Number	L/618/6932
Unit Title	Health and Safety Principles in the Working Environment
Unit Level	3
Number of Credits	10
Total Qualification Time (TQT)	100 hours
Guided Learning Hours (GLH)	60 hours
Mandatory / Optional	Mandatory
Sector Subject Area (SSA)	1.3 Health and social care
Unit Grading Structure	Pass/Fail

Unit Aims

This unit provides learners with the knowledge and understanding in relation to their own responsibilities for the safety of themselves and others within the working environment. Learners will also learn about planning and monitoring safety and health performance, and how improvement plans can be used to develop practice.

Learning Outcomes, Assessment Criteria and Indicative Content

Learning Outcomes – The learner will:	Assessment Criterion – The learner can:	Indicative content
1. Understand requirements for health, safety and welfare in the working environment.	1.1 Explain the legal requirements underpinning health and safety at work. 1.2 Describe the welfare provisions that should be made by the employer and explain how such provision can be maintained within the organisation. 1.3 Discuss ways in which requirements for vulnerable workers can be employed with	• Legal requirements relating to health and safety at work; common and civil law; criminal law; Acts of Parliament; Regulations; European law, The Health and Safety at Work etc. Act 1974, the term 'so far as is reasonably practicable' ; enforcement; litigation; enforcement notices and penalties.

consideration of relevant policies and controls.

1.4 Describe ways that health and safety information can be communicated in the workplace.

1.5 Describe the main causes of injuries and ill health at work.

1.6 Explain the potential consequences for non-compliance with health and safety legislation.

1.7 Discuss how occupational health and safety focus is aligned to the business strategy.

- Laws and legislation ie Management of Health and Safety at Work Regulations (MHSWR) 1999. The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) 1995. The Workplace (Health, Safety and Welfare) Regulations 1992. The Health and Safety (Display Screen Equipment) Regulations 1992

- Welfare provisions: Workplace (Health, Safety and Welfare) Regulations 1992; duties of employees/employers; healthy and safe place to work. safe plant and equipment; work safely with computers and environments with lots of technology equipment. safe handling; storage and transport of goods and substances; information; instruction; training; supervision; safe access/egress; welfare facilities; First aid Provide and maintain safe working. Provide information, training and supervision. • Ensure the safe handling, storage and movement of goods and materials. Provide and maintain safe equipment.

- Maintenance of provision
  o welfare facilities – the right number of toilets and washbasins, drinking water and having somewhere to rest and eat meals
  o a healthy working environment – a clean workplace with a reasonable working temperature, good ventilation, suitable lighting and the right amount of space and seating

| | | ○ a safe workplace – well-maintained equipment, with no obstructions in floors and traffic routes, and windows that can be easily opened and cleaned Vulnerable workers ie young workers, new or expectant mothers, disabled workers, night workers, lone workers, migrant workers, older workers Requirements for vulnerable workers: worker engagement; increased controls; adhere to health and safety regulations/ standards/ acts, translator; interpreter; review the environment and tasks on a regular basis; consultation; ongoing communication; consultation. Communicating health and safety requirements: safety signs; toolbox talks team meetings/briefings; safety, representatives/committees; trade unions; newsletters; posters; notices; verbal communication; safe systems of work; risk assessments; induction; training. Giving employees their own personal copy of the policy or a summary of it; Displaying the policy on notice boards; Explaining the content of the policy at team briefings or tool-box talks and during induction or refresher training courses; Referring to the policy in internal newsletters, booklets, emails and intranet communications; |

		● Making the policy an agenda item at meetings of the health and safety committee.
		● Causes of injuries and ill health at work: slips, trips and falls; manual handling; workplace vehicles; stress. Job tasks and procedures: look at the way they are designed to ensure they are safe and practical Work environment: poor work area set up, poor air quality, high/low temperature, etc. Management and organisation: inadequate safety program, lack of resources, poor communication, no system for reporting problems, or no involvement by management Individual worker or workforce: inexperience, inadequate training, fatigue, stress, or problems with communication
		● Consequences: injuries, loss of life, issues with recruitment/retention, complaints to Health and Safety Executive (HSE), inspections, prohibition notice, notice to improve, closure, prosecution, imprisonment, fines, loss of business, loss of integrity, loss of customer confidence, poor reputation, financial implications.
		● How to ensure the focus is aligned to the business strategy: involvement of stakeholders; agreed aims and objectives;, business plan, culture, ongoing review; monitoring; evaluation.
		● Ensure risk management in all areas Demonstrate enhanced commitment through

		leadership. Raise standards and promote excellence. Actively engage with supply chain and workforce. Drive cultural change through the business and influence industry. Promote Health & Wellbeing arrangements. Ensure clear and effective communication at every level across the business. Demonstrate legal compliance
		● Ethical codes and sustainability: embedded in business models, organisational strategy and decision making processes
		● Economic Dimension • Standards for Leadership & Management • Standards for Absence & Disability Management • Standards for Integrated Health & Productivity
		● Environmental Dimension • Standards for Healthy Workers • Standards for Healthy Workplace Environments
		● Social Dimension • Standards for Engagement in Prevention and Wellness by Employer and Employees • Standards for Value Based Health Benefits Management • Standards for Corporate Social Responsibility
2. Understand roles and responsibilities for health and safety in the workplace.	2.1 Explain employers health and safety responsibilities and accountabilities. 2.2 Explain employee and others health and safety responsibilities and accountabilities. 2.3 Explain the role of training and the importance of maintaining competency with the work environment. 2.4 Outline a methodology for the setting of personal	● Employers' responsibilities: duty of care; management; policies and procedures; risk assessment; guidance notes; record keeping; subcontractors; public/suppliers/ customers/ visitors; provision of personal protective equipment (PPE); provision of training; reporting procedures; conducting regular

goals to improve performance and competence.	inspections; safeguarding; provision/maintenance of equipment; welfare requirements; avoidance or reduction of manual handling where possible.
	● Employees' and others responsibilities: personal awareness; attending training sessions; reporting faults/concerns; continuous professional development; following risk assessments; safety of others; reporting injuries; informing employer of illness/incidents/accidents; use of personal protective equipment (PPE).
	● 'Others' can refer to anyone else that accesses the place of work. This can include visitors, other professionals, service users and their families. These people also have responsibilities relating to health and safety including o Taking reasonable care of themselves and others o Following workplace procedures (e.g. signing in when they arrive) o Reporting any health and safety concerns o Not misusing health and safety equipment
	● The role of training and monitoring: staff training; maintaining competence of staff; legal requirement; induction process; sharing of currency of practice; safe practice.
	● Personal Goals: Gives Focus & Purpose, Measures Progress,

		● SMART Goals ○ S - Specific (or Significant). ○ M - Measurable (or Meaningful). ○ A - Attainable (or Action-Oriented). ○ R - Relevant (or Rewarding). ○ T - Time-bound (or Trackable)
3. Understand the advantages of a safety management system.	3.1 Explain the costs and impact of accidents and ill health in the workplace. 3.2 Explain the elements of a safety management system. 3.3 Analyse the benefits of using a safety management system.	● The costs associated with accidents and ill health: moral, financial and legal aspects; loss of income; decreased productivity; poor reputation; reduction in staffing capacity and hours. ● Elements of a safety management system: plan, do, check, act; policies and procedures; emergency arrangements; contingency plans; training and competence; identification of competent persons; proactive/reactive measuring and monitoring. ● The benefits of using a safety management system: good health and safety standards; legal compliance; reducing risks; controlling hazards, promoting a positive health and safety culture.

Assessment

To achieve a 'pass' for this unit, learners must provide evidence to demonstrate that they have fulfilled all the learning outcomes and meet the standards specified by all assessment criteria.

Learning Outcomes to be met	Assessment criteria to be covered	Type of assessment
All 1 to 3	All AC under LO 1 to 3	Short Answer Questions – SAQ

Indicative Reading list

- British Standards Institution (2018) Occupational health and safety management systems: requirements with guidance for use. Ferrett E and Hughes P (2015) Introduction to Health and Safety at Work.

- Health and Safety Executive (2016) Essentials of Health and Safety Work. Health and Safety Executive (2013

- Management of Health and Safety at Work. Henmans Freeth LLP (2012 Health & Safety at Work Essentials.

Website Links

www.britsafe.org
British Safety Council

www.hse.gov.uk
Health and Safety Executive

www.iosh.com
Institution of Occupational Safety and Health (IOS

Unit 2. Maintaining a Healthy and Safe Work Environment

Unit Reference Number	R/618/6933
Unit Title	Maintaining a Healthy and Safe Work Environment
Unit Level	3
Number of Credits	14
Total Qualification Time (TQT)	140 hours
Guided Learning Hours (GLH)	100 hours
Mandatory / Optional	Mandatory
Sector Subject Area (SSA)	1.3 Health and social care
Unit Grading Structure	Pass/Fail

Unit Aims

This unit provides learners with the knowledge and understanding needed to maintain a healthy and safe working environment. The unit explores the importance of communicating effectively in relation to health and safety related topics; ensuring everyone in the setting is aware of their role, responsibilities, agreed and safe ways of working and any relevant updates and changes.

Learning Outcomes, Assessment Criteria and Indicative Content

Learning Outcomes – The learner will:	Assessment Criterion – The learner can:	Indicative Content
1. Understand the need for health and safety management.	1.1 Explain the reasons for the effective management of health and safety. 1.2 Explain social factors which affect health and safety standards in an organisation. 1.3 Analyse the implications of not managing health and safety practice in the workplace. 1.4 Explain how to ensure own skills and knowledge are kept up to date and applied with health and safety management practice.	● Reasons for management: legal responsibility; financial reasons; use of appropriate resources; currency of practice; to maintain positive reputation; to maintain public trust; accident/incident reduction and prevention; to reduce insurance claims; address insurance requirements; to reduce employee absenteeism; stakeholder management. ● Social factors: economic; climate; government policy, drivers and initiatives; industry/business, risk profile;

	1.5 Explain how to collaborate with others to ensure adherence to health and safety management strategies. 1.6 Examine the importance of promoting professional behaviour in self and others in relation to health and safety.	globalisation of business; levels of injury/sickness absence; reasonable adjustments; changes in staff profiling; demographics.
		● Implications include: Health and Safety Executive (HSE) sanctions; prohibition notices; increased insurance costs, increased claims for damages; payments for compensation; injury; illness; staff sickness; loss of customer/staff confidence; loss of stakeholder support; reduced productivity.
		● Maintaining currency: ongoing training; reflection of and on practice; prioritisation of tasks/risks/hazards; currency of equipment; training updates; agile ways of working.
		● Ensuring others adhere to practice: monitoring; supervision; role of trusted advisor; stakeholder involvement; training; shadowing; mentoring.
		● Collaboration: ongoing and regular updates. communication; meetings; sharing of good and best practice; exploration of effectiveness of strategies; ongoing evaluation and review; inclusion; agreed outcomes; lean management; prioritising tasks and issues; results driven to demonstrate achievement.
		● Critical health and safety behaviours (e.g. medical staff washing their hands after an examination) Management behaviours (e.g. demonstrating health and safety leadership) Risk control behaviours (e.g. following operating procedures).
2. Be able to contribute to the application of the correct processes to the management of health and safety in an organisation.	2.1 Explain the role of health and safety policies and safe systems in managing health and safety. 2.2 Ensure employers and employees co-operate on health and safety issues.	● The role of health and safety policies: overarching agreed ways of working; benchmarking; statement of intent; efficiency and effectiveness of application and implementation.
		● Regular staff training; competence of staff; staff roles

	2.3 Support others to use management and audit processes to maintain and improve health and safety standards. 2.4 Discuss how knowledge from across the organisation can be used to provide reports to assist in decision making. 2.5 Access sources of information and guidance on health and safety and carry out research for the identification and provision of innovative ideas. 2.6 Describe the role of innovation and creativity in managing health and safety. 2.7 Describe the role of managing change within an organisation and the provision of input into the nature and impacts of change.	and responsibilities; sharing of best practice; outcomes led; consistency of practice and guidance; establishing an awareness culture; tool box talks; consulting; leading by example. ● Management and audit processes: regular review; monitoring; risk assessment review; review of recording documentation; external input; stakeholder obligations; problem solving; the 4 Cs: control, cooperation, communication, competence; ● Health and Safety Executive (HSE) guidance/documentation. ● Use knowledge from across the organisation: roles and responsibilities; focus groups; review of practice; incident/accident review; benchmarking; sharing of best practice, expertise and judgement of practitioners, managers, consultants and business leaders, employee engagement ● Sources of information: Health and Safety Executive (HSE); approved codes of practice; guidance notes; industry associations; trade unions; accident/incident reports; customer feedback, legislation and official guidance; information from manufacturers; National and international standards such as from the ILO and industry standards or trade association guidance; results of risk assessments and job safety analysis; results of monitoring exercises such as audits and inspections; accident statistics and health/medical surveillance records; results of consultation with the workforce; and company policy, standards and maintenance records. ● Innovation and creativity: with reference to emerging needs and trends; improve business effectiveness;

		more viable approaches; solution focussed.
		● Research for innovative ideas – Unexpected Occurrences, Industry and Market Changes, Demographic Changes, New Knowledge.
		● Understand, Plan, Implement and Communicate Change,
		● Change management process is a process for identifying, assessing and controlling a change to workplace design, operations, organisation or activities prior to implementation to ensure that: o the change doesn't introduce any hazards into the workplace; o the risk of hazards to workers, the public or the environment is either eliminated or reduced so far as reasonably practicable.
		● Changes could include introduction of new products, services and processes, changes to existing products, services and processes, including workplace (e.g. locations, organisation, conditions or equipment), changes to legal requirements and other requirements, changes in knowledge or information about hazards and OH&S risks and developments in knowledge and technology.
		● Determine impacts and those affected, develop a communication strategy, provide effective training, implement a support structure, measure the change process,
		● Effective change can lead to disciplined, people-focused management, well-designed and well-implemented programs and strategies, financial health and sustainability, a culture that values learning, internal

		monitoring for continuous improvement, external evaluation of mission effectiveness.

3. Understand how to review health and safety across an organisation.	3.1 State the sources of evidence to check for significant changes to occupational safety and health standards or guidance.
	3.2 Explain processes for reviewing an organisation's health and safety practices and the corresponding documentation.
	3.3 Discuss ways to recognise recurring patterns and themes emerging from health and safety inspections and audits.
	3.4 Explain the principles of incident investigation.
	3.5 Identify sources of information relevant to incident investigations within own organisation.
	3.6 Explain the importance of record keeping and evidence relevant to incident investigations.
	3.7 Describe how changes can be implemented following a review of working practices.
		● Changes in standards or guidance: access to relevant updates and data from organisations such as HSE; British Safety Council, IOSH, inside the organisation (e.g. risk assessments, internal policies and inspection records) or outside the organisation (e.g. law, guidance and manufacturers information).
		
		● Review:
		
		● Procedures for review: inspection; safety monitoring techniques; audits; checklists; surveillance; safety monitoring; safe workplace; monitoring cycle; equipment; processes, systems of work, access; supervision, training and behaviour; feedback.
		
		● Documentation : Health and Safety Policy, Risk Assessments, Fire Risk Assessment, Health and Safety Law poster, arrangements for first aid, insurance documents and safety signage.
		
		● Inspections and Audits - Patterns and Themes:
		  o identifying and analysing the root causes of any non-conformities with relevant OSH regulations and/or OSH management systems arrangements; and
		  o initiating, planning, implementing,
		  o checking the effectiveness of and documenting corrective and preventive action, including changes to the OSH management system itself.
		  o Safety tours - general inspections of the workplace.
		  o Safety sampling - systematic sampling of particular dangerous activities, processes or areas.

		o Safety surveys - general inspections of particular dangerous activities, processes or areas
		● Principles of incident investigation: practical accident investigation; causation factors; root cause analysis; requirements of the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) 2013; objectives/outcomes of accident investigations.
		● Sources of information: health and safety personnel; those involved; managers/supervisors; specialists.
		● Records and reports; supervision records; monitoring reviews, auditable records; validated evidence; legal documents; accident/incident evidence; medical records; site surveys, technical data sheets, health and safety committee minutes, inspection reports, company policies, maintenance reports, past incident reports, safe-work procedures, and training reports.
		● Information produced by trade associations, trade unions, and professional bodies; Accident and ill-health data and information emanating from completed risk assessments, inspections, and audits.
		● Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR) – Record keeping / information on accidents, incidents and ill health can be used as an aid to risk assessment, helping to develop solutions to potential risks. Records also help to prevent injuries and ill health, and control costs from accidental loss.
		● Implementation of changes: implement safe systems; emergency planning, monitoring of changes; gathering feedback; stakeholder involvement; training; observation of practice;

		monitoring.

4. Be able to communicate effectively when contributing to the maintenance of a healthy and safe work environment.	4.1 Explain why promotion of health and safety is essential for all members of an organisation.
	
	4.2 Identify ways to simplify and explain technical health and safety information effectively to stakeholders within an organisation.
	
	4.3 Explain how to validate health and safety technical detail prior to dissemination.
	
	4.4 Describe how to respond to others in a flexible manner in order to achieve the best possible outcomes for the organisation.
	
	4.5 Explain how to communicate with stakeholders to address and resolve issues and potential conflict to avoid escalation.
	
	4.6 Explain and deliver a range of support and advice to both internal and external stakeholders through the application of the 'trusted advisor role'
		● Employer: legal responsibilities to ensure a safe and healthy workplace. Employee rights and responsibilities for your own wellbeing and that of your colleagues. Company reputation, legal compliance, risk management, cost control
		
		● Health and safety information :
		  o inform directors, senior, line, functional and technical managers, employee representatives and employees of the outcomes of health and safety reactive performance monitoring.
		  o prepare written and verbal reports of the outcomes of health and safety reactive performance monitoring.
		  o interpret to a lay audience the outcomes of health and safety reactive performance monitoring.
		  o select appropriate recommendations based on the outcomes of reactive performance monitoring.
		  o comply with the requirements of the regulatory authorities in respect of the outcomes of health and safety reactive performance monitoring.
		
		● Validation: use evidence from risk assessments, accident reports, statistics, employee records
		
		● Dissemination: targeted distribution of information and intervention materials to a specific health and safety audience. The intent is to spread knowledge and the associated evidence-based interventions ie HSE Manuals, presentations, posters, newsletters, websites face to face meetings, memos, notice boards, minutes of meetings, emails, safety booklets
		
		● How to respond to others: focus; interpersonal

skills; clarification; use of terminology; evidence gathering; understanding of information required.

- Flexibility: integrate new information and draw conclusions from it, receptiveness – particularly to change, respond with a positive attitude and a willingness to learn new ways to achieve targets and objectives, creativity – actively seeking out new ways of doing things and having confidence to improvise or experiment.

- Modification of behaviour – you are able to adjust your style of working or method of approach to meet the needs of a situation or emergency.

- Communicating with stakeholders: ongoing involvement; relevant information; data gathering; data protection; need to know basis.

- Communication:
  - Verbal – Meetings, presentations, lectures, toolbox talks, workshops and informal/formal conversations (face-to-face, phone/video conference).
  - Electronic – Emails, social media, conference calls, skype.
  - Printed – Procedures, policy, risk assessments, manufacturer or supplier information, instructions, leaflets, handbooks.
  - Pictorial – Diagrams, charts, displays, photographs, drawings, safety videos, safety signs.
  - Social – Informal discussions

- encourage employers and employees to resolve health

	and safety issues in a spirit of cooperation.
	● Considerations: the use of terminology; priority/essential information; medium used; avoid negative terms; constructive feedback on practice; active listening; body language; congruence, resolving conflict, overcoming resistance to change, building trust.

	● Trusted advisor: Someone who acts as an educator and can help you prepare for an external audit, review and enhance training curriculum, and help people understand their roles ie
	   ○ developing a strategy for, and conducting, site inspections and risk assessments
	   ○ Keeping up-to-date with legislation and policies, and making sure they are followed
	   ○ Developing health and safety policies and procedures
	   ○ Identifying hazards, and risk reduction measures
	   ○ Ensuring equipment is installed and used correctly
	   ○ Instigating necessary changes in working practice
	   ○ Compiling data, maintaining records and writing reports
	   ○ Conducting in-house training and health and safety meetings for employees and managers
	   ○ Advising on specific health and safety issues, such as fire regulations, hazardous substances, and occupational diseases
	   ○ Investigating any health and safety complaints and incidents
	   ○ Liaising with external health and safety authorities and unions
	   ○ Giving guidance to employers, managers, and supervisors on how to comply with health and safety law.

5. Understand the importance of working with others to maintain a healthy and safe workplace.	5.1 Analyse own role in relation to working with others to achieve a healthy and safe work environment. 5.2 Explain the impact of personal performance when working with others. 5.3 Explain the benefits of a commercial approach to a healthy and safe workplace. 5.4 Explain how to build working relationships with peers outside of the occupational safety and health function.	● Own role: advocating safe practice; inspiring others; empowering others to take responsibility; transparency; ethical responsibility; building trust and confidence; providing feedback; professional integrity. ● Personal performance: responsibilities; accountabilities; working to legislatory guidelines; self-awareness; goals; ambitions; motivational factors; currency/consistency of knowledge and practice; self-discipline; commitment to personal and professional development. ● Commercial approach: formalised approach; business decision-making; using commercial information to inform practice; application of business acumen; the use of negotiation in conflict situations. ● How to build working relationships externally: partnership working; sharing of practice; support networks
6. Be able to manage work priorities whilst maintaining health and safety.	6.1 Describe the characteristics that make a good health and safety leader. 6.2 Demonstrate the use of performance indicators to assess own and team members performance in relation to HSE organisational targets. 6.3 Show how to structure work responsibilities into projects and tasks in an organised manner. 6.4 Discuss the importance of prioritising workloads to meet the needs and priorities of the organisation.	● Leadership styles - Leadership styles and their impact on performance: coaching, visionary, servant, autocratic, laissez-faire, democratic, pace- setter, transformational. Relationship of leadership with staff engagement. Leadership implications for health and safety senior managers. ● Performance Indicators: 　o Review business objectives 　o Analyse your current performance 　o Set short and long term KPI targets 　o Review targets with your team 　o Review progress and readjust

		- Breakdown of work and workload: priorities; roles and responsibilities; time management; collaboration; delegation; management; supervision. - Determine Specific Tasks. - Brainstorm all required tasks - Prioritise and Sequence Tasks - Set Realistic Timetables. - Remove Potential Distractions - Identify what's important, highlight what's urgent, prioritise based on importance and urgency, review constantly and be realistic

Assessment

To achieve a 'pass' for this unit, learners must provide evidence to demonstrate that they have fulfilled all the learning outcomes and meet the standards specified by all assessment criteria.

Learning Outcomes to be met	Assessment criteria to be covered	Type of assessment
All 1 to 6	All AC under LO 1 to 6	Assignment Tasks / Short Answer Questions – SAQ

Indicative Reading list

- Ferrett E and Hughes P (2015) Introduction to Health and Safety Work. Health and Safety Executive (2006)

- Essentials of Health and Safety at Work Health and Safety Executive (2013)

- Management of Health and Safety at Work. Henmans Freeth LLP (2012)

Website Links

www.britsafe.org
British Safety Council

www.hse.gov.uk
Health and Safety Executive

www.iosh.com
Institution of Occupational Safety and Health (IOSH)

Unit 3. Principles of Risk and Incident Management in the Working Environment

Unit Reference Number	Y/618/6934
Unit Title	Principles of Risk and Incident Management in the Working Environment
Unit Level	3
Number of Credits	10
Total Qualification Time (TQT)	100 hours
Guided Learning Hours (GLH)	60 hours
Mandatory / Optional	Mandatory
Sector Subject Area (SSA)	1.3 Health and social care
Unit Grading Structure	Pass/Fail

Unit Aims

This unit provides learners with the knowledge and understanding needed to identify hazards and risks in the workplace, learners will also understand the processes and procedures that must be followed to carry out and document a risk assessment.

Learning Outcomes, Assessment Criteria and Indicative Content

Learning Outcomes – The learner will:	Assessment Criterion – The learner can:	Indicative content
1. Understand the principles of risk assessment.	1.1 Discuss the benefits of assessing and controlling risks in a working environment. 1.2 Describe why risk prioritisation is essential in the workplace. 1.3 Describe the types of risk assessment that can be used in a working environment outlining a range of methodologies that can be applied. 1.4 Identify where specific risk assessments may be necessary.	• The benefits of assessing and controlling risks: identifies hazards; raises awareness; applies control measures; protect employees and others; highest risks for action first; information; instruction; training; proactive/reactive strategies. • Types of risk assessments: ○ Qualitative - most common form of risk

		1.5 Identify situations where specialist knowledge and equipment will be required to assist in risk assessments. 1.6 Describe the steps for the production of occupational health risk assessments.	assessment in workplaces. It is based on the personal judgement and expertise of the assessor. They will often use their own ○ experience, but will also consult with others carrying out the activity and best practice guidance to reach their decisions. The H&S assessor will categorise risk into levels, high, medium or low. ○ Quantitative: used to measure risk by assigning a numerical value. This type of risk assessment will more likely be used with major hazards, like aircraft design, complex chemical or nuclear plants. ○ Dynamic: a process of assessing risk in an on the spot situation. This type of risk assessment is often used to cope with unknown risks and handling uncertainty. It might be used by the emergency services, or care workers for example, who need to deal with developing and changing situations ○ Generic: cover common hazards for a task or activity. The idea behind generic risk assessment is to cut down on duplication of effort and paperwork. This type of risk assessment will consider the hazards for an activity in a single assessment, where that activity may be carried out across different areas of the workplace or different sites. ○ Specific: Specific risk assessments. The risk assessment process should be used to identify hazards in your work activity and to evaluate the control measures that you have

		in place to manage these risks. The aim is to ensure that your activities are carried out without risks to the health and safety of your employees and others.
		● Where specific risk assessments may be necessary: Control of Substances Hazardous to Health (COSHH); manual handling; fire; display screen equipment, Covid 19, general risk assessment; return to work after illness/injury; new employee training, legal requirements of job role ie carer, nurse, beautician, cook etc.
		● Groups: lone workers, shift workers, pregnant workers, young workers, ageing and migrant workers.
		● Specialist knowledge and equipment ie Safety Risk assessments, Manual Handling, Fire Safety Audits, COSHH Assessments.
		● The steps to be taken to complete a risk assessment: employee engagement; consultation; risk evaluation methods.

		● The 5-step process for risk assessment:
		   o Identifying workplace hazards
		   o Determining who may be harmed and assessing the risk
		   o Evaluating and controlling the risk
		   o Recording your findings
		   o Reviewing your findings

2. Understand the risks and control	2.1 Explain a range of methods to identify occupational safety and health hazards to enable risk evaluation	● Common hazards:

| methods for workplace hazards. | and application of appropriate control measures.
2.2 Detail how workplace hazards can result in injuries and damage.
2.3 Detail risk control measures using the principles of the hierarchy of control. | o Biological – bacteria, viruses, insects, plants, birds, animals, and humans, etc.,
o Chemical – depends on the physical, chemical and toxic properties of the chemical,
o Ergonomic – repetitive movements, improper setup of workstation, etc.,
o Physical – radiation, magnetic fields, temperature extremes, pressure extremes (high pressure or vacuum), noise, etc.,
o Psychosocial – stress, violence, etc.,
o Safety – Safety hazards – for example: working at height, manual handling, confined spaces, electricity, vehicles and transport, fire, plant, machinery

● How workplace hazards can result in injuries and damage: slips, trips and falls; working at height; noise; machinery; fire; electricity, harmful substances; stress; violence; heating; ventilation; lighting; ergonomics.

● Risk control measures: the principles of the hierarchy of control; eliminate the task if practicable; substituting harmful substances; safe systems of work; correct use of substances, safety signage; isolation; use of Personal Protective Equipment (PPE); reduce time exposure; supervision; training; housekeeping; guards on machinery; barriers; fencing; enclosures, alarms; safety devices; fire detection/prevention; maintenance; safe access and egress; safe storage, use of |

		technology and surveillance equipment, correct use.
3. Understand how to manage the effects of accidents and incidents.	3.1 Identify common causes of workplace accidents and incidents. 3.2 Explain the difference between an accident and a near miss. 3.3 Describe the actions that need to be taken following an accident or incident in the workplace. 3.4 Describe the importance of accident and incident investigation in identifying the causes. 3.5 Explain the importance of accidents, incidents and near misses.	● Common causes: slips; trips and falls; human error; negligence; lack of training; inadequate supervision; faults; unclear lines of responsibility/authority; damaged equipment; poor lighting/space/ventilation; poor maintenance/cleaning; poor housekeeping. ● Accident: an unplanned, unpremeditated event caused by unsafe acts, omissions or conditions resulting in injury. Near miss: an unplanned event with the potential to cause injury or loss. ● The actions that need to be taken following an accident or incident in the workplace: reporting of accidents/incidents/near misses; recording in the accident book/log; legal requirement to investigate an accident; RIDDOR requirements. ● How accident investigation procedures can identify causes: accident triangle; sequence of events/conditions; what happened and why. ● Importance of reporting: improvements in training; the need for supervision; additional instructions, changes in health and safety policy and practice.
4. Be able to monitor risk and incident management.	4.1 Apply risk, accident and incident reporting procedures. 4.2 Identify a range of contractors that may	● Reporting procedures: include internal company processes; policies/procedures, incident/accident book/form; stakeholder

	contribute to the functions of an organisation and the risk assessment process they need to follow. 4.3 Explain how to review the content and quality of contractor risk assessments and method statements. 4.4 Explain who is responsible for completing and monitoring risk, accident and incident reports. 4.5 Recommend changes or improvements resulting from monitoring activities. 4.6 Identify training needs from risk assessment findings, inspections, audits, and other monitoring tools. 4.7 Explain how the outcomes of ongoing monitoring and recording can improve health and safety.	involvement; Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) 2013; the Health and Safety Executive (HSE). ● A contractor is anyone you get in to work for you who is not an employee. Using ● contractors – for maintenance, repairs, installation, construction, demolition and ● many other jobs. Contractors include sub-contractors, any individual self-employed worker or business that carries out, manages or controls construction work. They must have the skills, knowledge, experience and, where relevant, the organisational capability to carry out the work safely and without risk to health. ● Review contractor risk assessments: following policies and procedures; agreed ways of working; guidelines; monitoring; application of assessments; fitness for purpose. ● Responsibility for reporting: supervisors, senior managers, health and safety officers. ● Improvements: improvements in training for operatives, supervision, additional instructions, changes in health and safety policy, changes to practice, replacement of equipment. ● Improvements to health and safety: increased confidence in work place; decrease in

		worry/anxiety about unsafe practice; safer environment; changes to practice/job roles; increased productivity due to new ways of working.

Assessment

To achieve a 'pass' for this unit, learners must provide evidence to demonstrate that they have fulfilled all the learning outcomes and meet the standards specified by all assessment criteria.

Learning Outcomes to be met	Assessment criteria to be covered	Type of assessment
All 1 to 4	All AC under LO 1 to 4	Assignment Tasks / Short Answer Questions – SAQ

Indicative Reading list

● British Standards Institution (2018) Risk management – guidelines. Ferret E and Hughes P (2015) Introduction to Health and Safety at Work.

● Health and Safety Executive (2006) Essentials of Health and Safety at Work. Health and Safety Executive (2013)

● Management of Health and Safety at Work. Henmans Freeth LLP (2012) Health & Safety at Work Essentials.

● Hopkin, P. (2018). Fundamentals of risk management: understanding, evaluating and implementing effective risk management.

Website Links

Risk Assessments
British Safety Council

Managing risks and risk assessment at work
 Health and Safety Executive

www.iosh.com
Institution of Occupational Safety and Health (IOSH)

IMPORTANT NOTE

Whilst we make every effort to keep the information contained in programme specification up to date, some changes to procedures, regulations, fees matter, timetables, etc may occur during the course of your studies. You should, therefore, recognise that this booklet serves only as a useful guide to your learning experience.
For updated information please visit our website www.othm.org.uk.