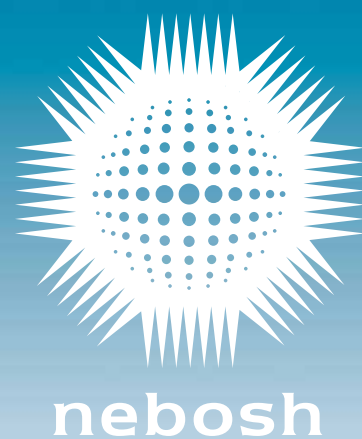


January 2012

Examiners' Report

NEBOSH National Diploma in Occupational Health and Safety (Unit A)



Examiners' Report

NEBOSH NATIONAL DIPLOMA IN OCCUPATIONAL HEALTH AND SAFETY

Unit A: Managing health and safety

JANUARY 2012



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Introduction

NEBOSH (The National Examination Board in Occupational Safety and Health) was formed in 1979 as an independent examining board and awarding body with charitable status. We offer a comprehensive range of globally-recognised, vocationally-related qualifications designed to meet the health, safety, environmental and risk management needs of all places of work in both the private and public sectors. Courses leading to NEBOSH qualifications attract over 25,000 candidates annually and are offered by over 400 course providers in 65 countries around the world. Our qualifications are recognised by the relevant professional membership bodies including the Institution of Occupational Safety and Health (IOSH) and the International Institute of Risk and Safety Management (IIRSM).

NEBOSH is an awarding body to be recognised and regulated by the UK regulatory authorities.

Where appropriate, NEBOSH follows the latest version of the *“GCSE, GCE, Principal Learning and Project Code of Practice”* published by the regulatory authorities in relation to examination setting and marking (available at the Ofqual website www.ofqual.gov.uk). While not obliged to adhere to this code, NEBOSH regards it as best practice to do so.

Candidates' scripts are marked by a team of Examiners appointed by NEBOSH on the basis of their qualifications and experience. The standard of the qualification is determined by NEBOSH, which is overseen by the NEBOSH Council comprising nominees from, amongst others, the Health and Safety Executive (HSE), the Confederation of British Industry (CBI), the Trades Union Congress (TUC) and the Institution of Occupational Safety and Health (IOSH). Representatives of course providers, from both the public and private sectors, are elected to the NEBOSH Council.

This report on the examination provides information on the performance of candidates which it is hoped will be useful to candidates and tutors in preparation for future examinations. It is intended to be constructive and informative and to promote better understanding of the syllabus content and the application of assessment criteria.

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General comments

Many candidates are well prepared for this unit assessment and provide comprehensive and relevant answers in response to the demands of the question paper. This includes the ability to demonstrate understanding of knowledge by applying it to workplace situations.

There are always some candidates, however, who appear to be unprepared for the unit assessment and who show both a lack of knowledge of the syllabus content and a lack of understanding of how key concepts should be applied to workplace situations.

In order to meet the pass standard for this assessment, acquisition of knowledge and understanding across the syllabus are prerequisites. However, candidates need to demonstrate their knowledge and understanding in answering the questions set. Referral of candidates in this unit is invariably because they are unable to write a full, well-informed answer to one or more of the questions asked.

Some candidates find it difficult to relate their learning to the questions and as a result offer responses reliant on recalled knowledge and conjecture and fail to demonstrate a sufficient degree of understanding. Candidates should prepare themselves for this vocational examination by ensuring their understanding, not rote-learning pre-prepared answers.

Common pitfalls

It is recognised that many candidates are well prepared for their assessments. However, recurrent issues, as outlined below, continue to prevent some candidates reaching their full potential in the assessment.

- Many candidates fail to apply the basic principles of examination technique and for some candidates this means the difference between a pass and a referral.
- In some instances, candidates do not attempt all the required questions or are failing to provide complete answers. Candidates are advised to always attempt an answer to a compulsory question, even when the mind goes blank. Applying basic health and safety management principles can generate credit worthy points.
- Some candidates fail to answer the question set and instead provide information that may be relevant to the topic but is irrelevant to the question and cannot therefore be awarded marks.
- Many candidates fail to apply the command words (also known as action verbs, eg describe, outline, etc). Command words are the instructions that guide the candidate on the depth of answer required. If, for instance, a question asks the candidate to 'describe' something, then few marks will be awarded to an answer that is an outline. Similarly the command word 'identify' requires more information than a 'list'.
- Some candidates fail to separate their answers into the different sub-sections of the questions. These candidates could gain marks for the different sections if they clearly indicated which part of the question they were answering (by using the numbering from the question in their answer, for example). Structuring their answers to address the different parts of the question can also help in logically drawing out the points to be made in response.
- Candidates need to plan their time effectively. Some candidates fail to make good use of their time and give excessive detail in some answers leaving insufficient time to address all of the questions.
- Candidates should also be aware that Examiners cannot award marks if handwriting is illegible.
- Candidates should note that it is not necessary to start a new page in their answer booklet for each section of a question.

UNIT A – Managing health and safety

Section A – all questions compulsory

Question 1 *An organisation is proposing to move from a health and safety management system based on the Health and Safety Executive's HSG65 model to one that aligns itself with BS OHSAS 18001.*

Outline the possible advantages **AND** disadvantages of such a change. **(10)**

Knowledge of the management models HSG65 and OHSAS 18001 was essential to enable candidates to answer this question. Those who decided to structure their answers under the headings of 'advantages' and 'disadvantages' normally did best. As advantages, they realised that a move to OHSAS 18001 would facilitate easier integration with BS EN ISO 14001 and ISO 9001:2008 to produce an integrated management system and outlined further benefits such as publicity value; improved employee and customer perception; improved international recognition; a clearer standard for benchmarking; and a commitment to continual improvement. Marks were also available for recognising that external registration and independent external assessment would be available and that a more prescriptive system might be easier to assess.

Examples of possible disadvantages could have included the fact that HSG65, unlike OHSAS 18001, is the system recognised and used by the enforcement authorities in the UK and they are likely to audit an organisation against this standard, as much of the published guidance in the UK refers directly to HSG65 and not OHSAS 18001. Other possible disadvantages include the direct on-costs of changing a system; how time consuming the proposed model would be; the cost of external registration; the likelihood of increased paper work to satisfy assessors; the possibility that the change might be perceived as unnecessary; and the fact that the model may be too sophisticated for small to medium sized enterprises.

It seemed that most candidates were well prepared for this question and answers were generally to a good standard. Those who did not do so well concentrated only on the benefits of having a management system without considering the advantages and disadvantages of moving from one model to another. A number of candidates answered this question as though it was about the advantages and disadvantages of an integrated management system. It was not.

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- Question 2** (a) ***Outline the strengths of using accident rates as a measure of health and safety performance.*** **(2)**
- (b) ***Outline the weaknesses of using accident rates as a measure of health and safety performance.*** **(8)**
-

In answering part (a) of the question, most candidates referred to the strengths of using accident rates as a measure of health and safety performance such as the fact that they are a measurable number with defined criteria; they provide an easy way of plotting trends; and they represent categories of loss events which have actually happened and which are undesirable.

However, using accident rates as a measure also has its weaknesses and candidates were expected to exemplify these by outlining that the rates give a historic measure but not a prediction of future performance and indicate the effectiveness of previous rather than current safety measures; that accidents may not be reported or recorded, and when or if they are, their number may often be too small to be used as a statistically reliable performance indicator whilst the absence of accidents does not mean that procedures currently in place are safe; that the rates do not provide a measure of the actual or potential severity of an accident nor identify high consequence, low probability risk; that minor accidents, near misses and other such incidents are not included; that the rates do not reflect the presence of any chronic health issues; and that differences in the interpretation of the word 'accident' and the way in which contractors or part-time employees are treated may make the data and their comparison invalid.

Answers to this part of the question were not to the same standard, with many candidates finding it difficult to outline more than one or two of the above weaknesses.

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- Question 3** ***Outline the types of information that should be included in written safe systems of work. Details of any specific risk controls are not required.*** **(10)**
-

In preparing a written safe system of work (SSOW), an initial consideration would be to give a clear description of the work activity or the work area to which the SSOW is to apply, the significant hazards and risks involved, the personnel to be involved in the activity noting particularly those who should not be involved such as young persons or other vulnerable personnel, the level of training and competence that would be required, communication arrangements and the arrangements to be put in place for the supervision of the activity or area. The next step would be to describe the plant and equipment required for the work; to detail the specific risk control measures that should be taken; to indicate any personal protective equipment to be used; and to highlight the requirement for any job specific instructions or briefing that would have to be given to those involved in the work. Additionally, an element of the SSOW would be an indication of the emergency arrangements that should be in place for the activity together with those for communicating with others who might not have a part to play in the activity but who might be affected by it. Finally, information would have to be provided on the arrangements for the safe completion of the task or activity; the withdrawal of the precautions that had been adopted; and on the proposed date for a review of the SSOW in the light of experience gained or any changes either in legislation or technical knowledge.

This seemed to be an occasion when candidates did not read the question with sufficient care. A number treated it as though it was concerned specifically with a permit to work system while others described the five steps to be taken in carrying out a risk assessment. Despite the wording of the question, a few gave a list of the specific risk controls that might be necessary.

Question 4 ***Describe** the possible strengths **AND** weaknesses of the role of the union-appointed safety representative in improving workplace health and safety standards and culture.*

(10)

The possible strengths of the role of the union appointed safety representative in improving the standards of health and safety at the workplace would include ensuring that employee concerns which might otherwise remain unknown, are brought to the attention of management and if necessary to an inspector from the enforcing authority, and applying pressure to ensure that the promised action on improving working conditions is taken; ensuring employee involvement in and commitment to good health and safety practices; encouraging and supporting active monitoring by exercising their entitlement to carry out inspections of the workplace and ensuring employee input during the investigation of accidents and incidents; acting as a champion for health and safety and so promoting awareness and interest; by virtue of their acquired knowledge and training, highlighting shortcomings in that provided for members of management; and encouraging the employer to set up a formal health and safety committee which will promote further consultation with the employees.

On the other hand, the appointment of a safety representative could have its weaknesses in that it could result in less direct engagement and consultation by management with the workforce on health and safety issues. Their investigative role could lead to them focusing on compensation claims rather than on the introduction of control measures to prevent a recurrence and there is a danger that health and safety issues might be mixed up and confused with other employment relations issues. A representative who has not received appropriate training may fail to establish correct priorities and cause resources to be wasted; one who is ineffective may undermine the existing safety culture of the organisation by failing to represent the views and opinions of employees; and there is always the possibility that their role may not be seen as relevant by non-union employees.

This question was not well answered. It was concerned with the possible strengths and weaknesses of the role but many candidates were only content to provide information provided on the functions and duties of a safety representative as contained in the relevant Regulations. If weaknesses were identified they tended to be linked with deficiencies in the individual rather than the role.

Question 5 *A poor organisational safety culture is said to lead to higher levels of violation by employees.*

(a) **Give** the meaning of the term 'violation' **AND outline** the classification of violation as 'routine', 'situational' or 'exceptional'. (6)

(b) **Outline** why a poor safety culture might lead to higher levels of violation by employees. (4)

In answering part (a) of the question, candidates should initially have included that a "violation" is a deliberate and intentional deviation from rules, procedures, instructions or regulations. A routine violation involves continually breaking a rule or procedure to the extent that it becomes the normal way of working. In the case of a situational violation, rules are broken due to pressures from the job such as insufficient staff for the workload, time pressures, adverse conditions or because the right equipment for the job is not available. Exceptional violations by their very nomenclature are rare and only happen when things have gone wrong and a risk is taken to solve an urgent problem or is believed to be the lesser of two evils. There were a few candidates who were unable to provide an acceptable meaning for the term 'violation' neglecting to emphasise that it was in fact an intentional action. Most candidates understood 'routine' violation but there was often confusion between those classified as 'situational' or 'exceptional'.

For part (b), a good answer would have outlined that a good or poor safety culture in an organisation is based on the common beliefs and perceptions of the employees which over time are built up by the decisions and behaviour of leaders and/or peers. As such, a lack of a shared perception about the importance of safety could lead to individual employees violating a rule or procedure because they are driven by their own perception of what is really important or they may be influenced by peer pressure. This negative perception that rules are not important and that production is more important – both prime factors of a poor safety culture – could lead to higher levels of violation. There were not many good answers provided with a number of candidates unable to make the link between the two parts of the question.

Question 6 ***Explain** the meaning of the terms 'practicable' **AND** 'reasonably practicable' as they apply to health and safety legislation. Use case law to support your answer where applicable.* (10)

In answer to this question, Examiners were looking to candidates to explain that a duty qualified by the word 'practicable', whilst not constituting an absolute duty, must be carried out if it is technically possible or feasible in the light of current knowledge and invention. It is a duty of a higher standard than 'reasonably practicable' since cost cannot be taken into consideration in discharging a practicable duty.

In discharging a 'reasonably practicable' duty, the duty holder is required to balance the risk, that is the likelihood and severity of possible harm against the cost in terms of time, effort and money of reducing the risk. Duty holders must continue to reduce risk until the cost of the risk reduction becomes 'grossly disproportionate' to the risk removed.

Candidates were given credit for illustrating their answers with relevant case law, such as *Adsett v K&L Steelfounders and Engineers Ltd* [1953], *Edwards v National Coal Board* [1949] and *Marshall v Gotham Co Ltd* [1954].

There were some candidates who confused one term with the other whilst a few did not seem to understand the principles involved or quoted case law without explaining its relevance.

Section B – three from five questions to be attempted

Question 7 (a) **Explain** the meaning of the terms:

- (i) accident incidence rate; (2)
- (ii) accident frequency rate; (2)
- (iii) accident severity rate. (2)

(b) The table below shows the number of lost-time accidents at two similar manufacturing units in recent years and the average number of person-hours worked for each year.

Year	Number of lost-time accidents at Unit A	Number of person-hours worked at Unit A	Number of lost-time accidents at Unit B	Number of person-hours worked at Unit B
2006	7	255,000	8	164,000
2007	6	223,000	9	199,000
2008	6	215,000	9	209,000
2009	5	193,000	10	244,000
2010	5	180,000	10	261,000

(i) **Calculate and compare** the annual lost-time accident frequency rates for the two manufacturing units **AND identify** any trends. (7)

(ii) A line graph showing the lost-time accident frequency rate calculated for each month is sent to the management of Manufacturing Unit A on a quarterly basis. The line graph is highly variable with many sharp peaks and troughs from month to month.

Explain why the graph is so variable **AND outline** how such a graph could be presented in a more useful way. (4)

(c) Another manufacturing unit ran a campaign to reduce the number of knife cut injuries. As a result of this campaign the lost-time accident frequency rate at the unit fell by 20%. However, the accident severity rate fell by only 10%.

Explain why the two indicators may not have fallen by the same proportion. (3)

For part (a), candidates were expected to explain that an accident incidence rate is the number of accidents multiplied by an agreed multiplier divided by the average number of persons employed; the accident frequency rate, the number of accidents multiplied by an agreed multiplier divided by the total number of person hours worked; and the accident severity rate, the number of days lost multiplied by an agreed multiplier divided by the number of person hours worked. Answers were generally to a good standard though a few candidates did have difficulty in explaining the meaning of an accident severity rate.

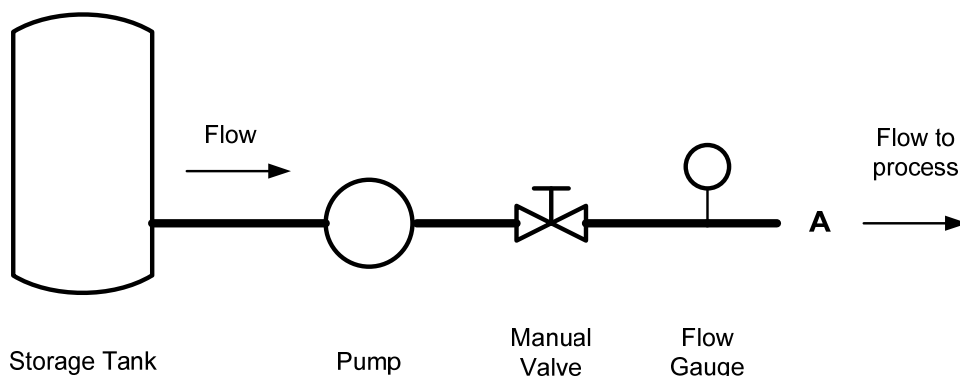
For part (b)(i), candidates should have calculated and compared the annual lost time accident frequency rates for the two manufacturing units from the information contained in the table and identified any trends. If their calculations had been correctly made, they would have identified that the rates for Unit B were consistently higher than those for Unit A and while there were no trends apparent in the rates for Unit A, there was a downward trend in those for Unit B. The calculations did not seem to pose too many problems and candidates were normally able to compare the results and arrive at the correct conclusions.

In answer to (b)(ii), a good answer would have identified that the variation in the graph would be caused by the fact that in some months no accidents would have occurred thus giving a zero rating, while other months would have produced one or two accidents showing a much higher rating such as, for example, in excess of five. The graph would have been more useful either by using a moving average or by showing a trend line. Answers to this part of the question were not to the same standard with many candidates finding difficulty in providing valid reasons for the variability in the line graph and so, consequently, being unable to offer suggestions for other options in its presentation.

For part (c), candidates should have explained that knife cut injuries were on average causing fewer days lost per accident than the rest of the accidents that the unit was experiencing but that small numbers of other very high severity accidents causing employees to take significant amounts of time off work, have a disproportionate effect on the severity rate. Many candidates did not seem to appreciate this fact, seeming not to understand what was required and suggesting only that the manufacturing unit had failed to give the campaign sufficient publicity.

Question 8

The diagram below shows a section of process plant in which a raw material is pumped continuously to a process from a storage tank. The flow rate is controlled by an operator who adjusts the manual valve to achieve the desired flow as shown on the flow gauge. If the flow is too great a dangerous reaction may occur in the process. If there is insufficient flow the product produced in the process will be defective and will have to be discarded. Any contaminant in the raw material may produce a dangerous reaction.



Apply the methodology of a hazard and operability (HAZOP) study to the process at point A on the diagram **AND give** the results of the study in typical HAZOP format.

You are not required to produce a complete study. Consider only the process parameter of 'flow' and apply no more than **three** guide words. (20)

In answer to this question, candidates were expected to apply the methodology of a HAZOP study to the scenario described, to produce the results of the study in typical HAZOP format and to consider only the process parameter of 'flow' and apply no more than three guide words. Marks were therefore available for first identifying the appropriate table headings such as guide words, deviation, cause, consequence, safeguards (existing controls), and actions (additional controls) and then the guide words, for example no, less, more, as well as, other than and reverse. A candidate who then opted to choose the guide word 'less' would have indicated that the deviation would have been less flow, the cause - a defective pump or valve, a pipe that was partly blocked or operator error, the consequence - a defective product, the existing controls - operator supervision, and possible additional controls could have been - testing and maintaining the gauge and valve, automating the flow control, and testing and maintaining the line.

A similar approach was required for each of the three guide words selected.

This was not a popular question but there were some good answers provided by candidates who were aware of the tabular presentation format and applied it correctly to the scenario described. Those who did not do so well did not produce the required format or omitted some of the table headings whilst a few explained the principles of a HAZOP study, which was not required.

Question 9

(a) *A machinery accident at work has resulted in a fatality.*

- (i) **Identify** the authorities that might be involved in investigating the accident or in initiating and/or conducting criminal prosecutions **AND outline** the involvement of each authority in these circumstances.

(5)

- (ii) *Following an initial investigation into the fatal accident, an enforcing authority inspector wishes to make a further visit so that statements can be taken from witnesses and others, including the Managing Director. Prosecution under the Health and Safety at Work etc Act 1974 is being considered.*

The Managing Director, who was controlling work at the scene when the accident occurred, has refused permission for the inspector to make a further visit and to take statements.

Outline the specific powers of inspectors that are relevant to this issue **AND** the possible courses of action that the inspector may pursue.

(9)

- (b) **Outline** the legal criteria that must be satisfied to obtain a conviction under the Corporate Manslaughter and Corporate Homicide Act 2007.

(6)

In answering part (a)(i) of the question candidates could have chosen either those authorities who might be involved in investigating a fatal work accident in England and Wales or those with a similar involvement in Scotland.

In England and Wales, the accident would be investigated by the HSE who would subsequently decide whether to prosecute for breaches of the HSW Act or Regulations and would conduct summary proceedings in the Magistrates' Court or brief a barrister if the case was to be heard on indictment in the Crown Court. The police might also investigate the circumstances of the accident with respect to manslaughter or suspicious death and refer their findings to the Crown Prosecution Service to make a decision whether a prosecution for manslaughter should proceed.. In Scotland, the HSE or the Local Authority would similarly be involved in investigating the accident but would then advise the Procurator Fiscal who would decide whether to prosecute for breaches of the HSW Act or regulations. The Procurator Fiscal would conduct the proceedings in the Sheriff's court. The involvement of the police in the investigation is identical to that in England and Wales but on completion of their enquiries they would report to the Crown Office who would decide whether to institute proceedings for homicide. The case would be conducted by a senior law officer from the Crown Office.

Candidates were normally able to identify the authorities who would be involved in investigating the accident but some did not outline what their involvement would be. Some did not appear to notice that the accident had resulted in a fatality and made no reference to the involvement of the police.

With reference to the scenario described in part (a)(ii), inspectors have the power to enter premises at any reasonable time, taking with them another authorised person if this is thought necessary and also a member of the police if obstruction is anticipated; to require any person to answer questions and to sign a declaration of truth as to their answers (though statements which may incriminate the interviewee, such as the Managing Director in this case, would not be admissible as evidence in any subsequent prosecution); and to be entitled to reasonable facilities and assistance from the person in control of the premises. The possible courses of action that the inspector might pursue include re-visiting the premises with a colleague or police officer to take statements; consider arranging interviews with witnesses at an alternative venue; carrying out a voluntary interview of the Managing Director under caution; and prosecuting the Managing Director both for obstructing them in the course of their duties and for preventing other persons from being interviewed by them.

Instead of referring to the specific powers and courses of action the inspector might take to deal with the situation described, many candidates produced a general summary of all the powers possessed by an inspector even occasionally suggesting that they had that of arrest and detention. Some candidates suggested that notices would be served, an action that was not particularly relevant for the scenario.

In answering part (b) of the question, candidates were expected to outline that an organisation may be found guilty of an offence under the Corporate Manslaughter and Corporate Homicide Act 2007 if the way in which its activities are managed or organised causes a person's death and amounts to a gross breach of a relevant duty of care owed to the deceased. The organisation's conduct must have fallen far below what could have reasonably been expected and a substantial part of the failure within the organisation must have been at a senior management level. This part of the question was not particularly well answered. There was confusion in candidates' minds between corporate and individual liability for manslaughter.

Question 10

A 13 year-old boy is riding on the back of a milk delivery van when he falls and is injured. The boy has been helping the milkman to deliver milk even though doing this was forbidden by the dairy that employs the milkman.

- (a) **Explain**, with reasons, which of the parties concerned may have civil liability at common law for the injury. Use case law to support your answer where appropriate. (5)

- (b) *An action alleging negligence by the milkman is brought on behalf of the injured boy.*

Outline possible defences against such an action **AND**, in **EACH** case, **relate** your answer to the scenario given. (6)

- (c) *The negligence claim is to be managed in accordance with the relevant pre-action protocol.*

Identify FIVE possible documents that the defendant may have to send to the claimant under this protocol. (5)

- (d) *Following this accident the milkman was dismissed for gross misconduct for a serious breach of safety rules. The milkman considers this to be unfair and brings an action for unfair dismissal to an Employment Tribunal.*

- (i) **Outline** the orders that the Employment Tribunal may make if they find in the milkman's favour. (3)

- (ii) **Identify** the body that would hear any appeal from the decision of the Employment Tribunal. (1)
-

In answer to part (a), the first party considered to have civil liability at common law would be the milkman if it can be proved that he has behaved negligently. Relevant case law to support this argument would be found in *Donoghue v Stephenson* and *Caparo v Dickman*. Additionally it could be argued that the dairy will have vicarious liability since the milkman was their employee, the accident occurred during the course of his employment and though he had apparently broken the company's rules, this in itself would not be sufficient to remove the vicarious liability. *Rose v Plenty* could have been cited as supporting case law for this view. This part of the question was generally well answered.

For part (b), an initial defence would be a complete denial of the stated facts regarding the injury. Additionally it could be argued that no duty of care was owed to the injured party, and if it was, the duty was not breached taking into account foreseeability and reasonableness. Other possible defences included that the damage did not arise from the breach of duty, contributory negligence or *volenti non fit injuria*. If the dairy was being sued, an argument that the milkman had gone outside the course of his employment could be made to try and avoid vicarious liability.

In most cases, candidates seemed to have an adequate appreciation of the possible defences that were available at common law. However, marks were lost when answers were not related to the given scenario as required.

Candidates who were familiar with the relevant pre-action protocol would have had little difficulty in answering part (c) by referring to documents such as the accident book entry, the supervisor's accident report, the RIDDOR report to the HSE and other communications between the Executive and the defendants, the pre-accident risk assessment, and the records of any training or information that had been provided to employees.

As for part (d), should the Employment Tribunal find in the milkman's favour, they could order that he be re-instated and allowed to return to his original job and conditions; be re-engaged by the same employer but in a different job or with different conditions; or be awarded compensation for loss of employment. Any appeal against the decision of the Tribunal would be heard by the Employment Appeal Tribunal. Candidates appeared to have difficulty in outlining the orders an Employment Tribunal might make nor could they correctly identify the body that would hear an appeal, suggesting for example, the Magistrates or Crown courts.

Question 11 *As the Health and Safety Adviser to a large organisation, you have decided to develop and introduce an in-house auditing programme to assess the effectiveness of the organisation's health and safety management arrangements.*

Describe the organisational and planning issues to be addressed in the development of the audit programme. You do not need to consider the specific factors to be audited.

(20)

This question was designed to assess candidates' understanding of the organisational and planning issues to be addressed in the development and implementation of an audit programme. A strategic approach was required with some of the issues that needed to be addressed including a consideration of the logistics and resources required such as the time to be taken, releasing personnel and the financial implications and obtaining the support and commitment of senior managers and other key stakeholders. Other matters for consideration were the nature, scale and frequency of the auditing relative to the level of risk involved, the standards against which the management arrangements were to be audited such as, for example, legal or good practice, and the identification of the key elements of the audit process such as the planning, interviews and verification, feedback routes and the preparation and presentation of the final report. There would also have to be recognition of the need to develop audit protocols and consider issues such as scoring or the use of proprietary software. The types of auditing such as comprehensive, horizontal or vertical slicing; its scope such as management system elements and selected performance standards; the use of a single auditor or audit teams; and the training of auditors and briefing of those members of the organisation who were likely to be affected could also have been mentioned to gain marks.

Many candidates did not appear to possess knowledge of the basic principles of an audit and described what was in effect a workplace inspection or safety tour. Some suggested making a comparison with previous audits despite the fact that the question was about the development and introduction of an auditing programme. There were but few candidates who dealt to any depth with organisational and planning issues whilst a number, again despite the wording of the question, described the specific factors that should be audited.



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