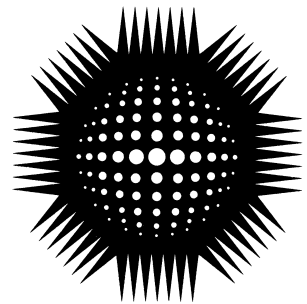


NEBOSH

KNOW - WORKPLACE HEALTH AND SAFETY  
PRINCIPLES (UK)

UNIT ND1:

For: NEBOSH National Diploma for Occupational Health and Safety Management  
Professionals



nebosh



**General note about this sample assessment**

Please note that this is a *sample* assessment, designed to be illustrative of the different types of tasks/activities learners will face. It is therefore **not** a full sample; it does **not** contain as many tasks/activities as a live paper will have. This sample has only around 500 marks available, whereas a full paper will have 600 marks available, split equally between 4 parts (150 marks per part).

---

**Guidance to learners**

The assessment is split into four parts.

All the tasks and activities in all parts of the assessment are mandatory.

- Part 1 contains questions based on a fictitious, but realistic scenario.
- Part 2 contains tasks that you will need to complete in a suitable workplace.
- Part 3 contains reflective tasks.
- Part 4 is a short research project.

You will have 6 weeks (30 working days) to complete all four parts of the assessment.

Please refer to your registration confirmation email for the upload deadline.

Please note that NEBOSH will be unable to accept your assessment once the deadline has passed.

---

This assessment is not invigilated, and you are free to use any learning resources to which you have access, eg your course notes, or the HSE website, etc.

By submitting this completed assessment for marking, you are declaring it is entirely your own work. Knowingly claiming work to be your own when it is someone else's work is malpractice, which carries severe penalties. This means that you must **not** collaborate with or copy work from others. Neither should you 'cut and paste' blocks of text from the Internet or other sources.

---

## Part 1: Scenario-based questions



The first part of the assessment requires learners to answer questions that are based on a scenario. The number of tasks and questions per paper may vary but will not cover the whole of the ND1 syllabus on a single paper. The scenario, tasks and questions will change in each paper.

The assessment begins with a realistic scenario to set the scene. You will then need to complete a series of tasks based on this scenario. Each task will consist of one or more questions. Your responses to **most** of these tasks should wholly, or partly, draw on relevant information from the scenario. The task will clearly state the extent to which this is required.

The marks available are shown in brackets to the right of each question, or part of each question. This will help guide you to the amount of information required in your response. In general, one mark is given for each correct technical point that is clearly demonstrated. Avoid writing too little as this will make it difficult for the Examiner to award marks. Single word answers or lists are unlikely to gain marks as this would not normally be enough to show understanding or a connection with the scenario.

---

Please attempt **ALL** tasks.

---

### SCENARIO

A haulage company owns and operates one site from which it runs a fleet of 40 lorries, many of which are over 10 years old. The annual turnover of the company is £44.5 million. The organisation has been operating for nearly 60 years and has grown from an initial workforce of 5, to 150 workers (a mixture of drivers, vehicle maintenance and office workers). The current managing director (MD) took over the role when their father retired 25 years ago; their current gross earnings are £125 000 per annum.

The haulage company's main contract is to deliver car parts across Europe for a major car manufacturer. This contract was put in place nearly 20 years ago, at a time when the car manufacturer only made and sold cars nationally within the United Kingdom (UK). The contract was negotiated between the MD's of the two organisations, who are old school friends. There has been no significant review of the contract terms since it was signed, other than an annual financial review.

Over the past few years there have been numerous health and safety breaches at the haulage company's site. For example, six months ago a family member of one of the maintenance workers entered the site and was run over by a forklift truck which broke their foot. The worker took their family member to hospital. After leaving the hospital, they rang a solicitor for an initial consultation about bringing a compensation claim against the haulage company. Following the consultation, the solicitor also advised the worker to check that the organisation had reported the issue to the Health and Safety Executive (HSE). When the worker approached the MD, they were told that it would not be reported as the family member should not have been on site, so it was their own fault. Nevertheless, the worker contacted the HSE and explained the circumstances. The worker subsequently resigned as they did not want to work for an organisation whose MD had such a bad attitude.

In the past, the HSE had tried to work with the management at the haulage company's site and had, on several occasions, provided advice on how safety could be improved. Following the report about the broken foot, an inspector visited the site again. The MD was not available to speak to the inspector at this visit. The inspector found evidence of at least six different health and safety breaches across the site. They also noticed that the perimeter fence had a large hole in it and that there was no signage on the perimeter fence to communicate the dangers of entering the site. The inspector issued an improvement notice for the health and safety breaches that were found across the site.

The inspector visited the site again 21 days after the notice date and then again, a further three weeks later. The MD was not available until the last visit. During this visit the MD told the inspector that the notices would not be actioned as it was the MD, not the inspector, who was in charge. The inspector issued a prohibition notice which the MD tore up in front of them, saying that it would cost too much to put things right and that bonuses would be at risk if the improvements were made. The HSE subsequently prosecuted both the haulage company and the MD, and both received fines. So far the MD has not paid their fine and is refusing to speak to the court's officials about the issue.

Since then, there has recently been a fatality at the site. A 10-year-old child had entered the site with some friends through the hole in the perimeter fencing. The child was knocked over and killed by one of the lorries reversing into a parking bay.

There have been a lot of reports in the press and on social media about the child's death, which have included information on the haulage company's poor health and safety performance record. The car manufacturer's procurement director has seen these reports and visits the site to discuss the ongoing relationship between the two organisations. The procurement director tells the MD that they are very concerned about the relationship and that the car manufacturer is now a supply chain focal company. The procurement director explains that Corporate Social Responsibility (CSR) is also a top priority and that they have signed up to one of the codes on CSR which has health and safety requirements within it. The car manufacturer takes both their focal company and CSR responsibilities very seriously.

Following the fatality, the board of directors of the haulage company voted to recruit a health and safety manager as they realised that something had to change. The MD was the only member of the board who did not agree with this decision, but was outvoted. You were successful in obtaining the role of health and safety manager.

Your first job is to review the health and safety policy and any procedures currently in place. You are concerned to find out that there is no policy or written procedures. Procedures are passed by word-of-mouth from worker-to-worker. The drivers have told you that "this is just the way things are done around here". You check to see what driver training there is, but can find no training records. You also check that you have up-to-date drivers' paperwork and find that many of the driving licences on record have either expired or do not exist; in some cases, drivers are driving categories of vehicles for which they do not hold a licence. You also discover that many of the drivers are not taking sufficient driving breaks during the working week. This is due to pressure from management to get the job done quickly, at all costs. Drivers accept this as the 'norm' and have the attitude that if that is the way management want it done then that is what will be done, even if it means that they are working under excessive pressure.

You then carry out an investigation into the fatality and find out that unauthorised visitors including children, are a regular occurrence and that various workers have chased children off the site on many occasions. You hear reports from most of the drivers that this was "an accident waiting to happen" as there have been a lot of near misses in the past involving children and site vehicles. The drivers tell you that most of the fleet go out on Monday mornings and return Friday afternoons or early evenings; at both of these busy times there are always children inside the perimeter fencing watching the lorries manoeuvring.

You also discover that the hole in the perimeter fence has been reported to the MD on several occasions by different workers and that, despite numerous requests from drivers, the lorries have no reversing cameras or audible alarms. The drivers also tell you that they have stopped reporting issues and asking for safety-related equipment/clothing as these requests are always ignored. They also say that they think, with hindsight, that this equipment/clothing is not required because they have not been involved in any incidents. You find that even if the MD authorises the purchase of the safety-related equipment/clothing they will very often change their mind and tell the drivers to buy it for themselves. You ask the drivers why they stay with the haulage company, and they all reply because they can turn up, get the job done but not care if they do a good job or not. Their attitude is,

that if management do not care how the job is done, neither should they. The drivers also tell you that the pay is exceptional, much higher than the industry average.

You ask the MD for the site's risk assessments. The MD tells you that there is "no such thing as risk"! The MD goes on to say that it is up to the individual to make sure that they act responsibly so that they do not cause themselves or anyone else an injury; so there is no need for the MD to bother doing risk assessments. You raise the issue of the reversing devices for the lorries and say that the workforce must be consulted on such issues, rather than the MD making a unilateral decision. The MD's response is to laugh at you before walking away.

The Police and the HSE carried out a joint investigation into the accident where the child died. The MD initially co-operated with the HSE. However, when the HSE asked to see the site's risk assessments, the MD's attitude changed. After this, the MD refused to co-operate with the investigators, insisting that it was the child's fault as they were not authorised to be on the site and that it was nothing to do with the haulage company.

You later found out that the MD had destroyed a lot of evidence directly after the fatality. The MD's personal assistant told you this in confidence, but would not go 'on the record' as they were afraid of repercussions. After the investigation, you find out that another driver voluntarily told the HSE Inspector that near miss incidents between reversing vehicles and pedestrians were common on the site. They said they were concerned about the number of incidents that were happening even after they had reported the issue to the MD. This driver also resigned as they did not want to work for an organisation that had so little regard for safety.

### Task 1: Duties of the occupier

- 1 The hole in the perimeter fencing allowed a child to gain access to the site.
- Outline what common law duties the haulage company had to the child and how these duties may have been breached. (10)
- Note:** You should support your answer, where applicable, using relevant information from the scenario.

### Task 2: Sentencing guidelines – individual offences

- 2 As a result of the investigation into the child's death, the HSE prosecuted the Managing Director under Section 37(i) of the Health and Safety at Work etc Act 1974. The managing director pleaded 'not guilty' but was subsequently found guilty.
- Using the sentencing guidelines, explain, with reasoning, what sentence the MD is likely to receive. (25)
- Note:** This question is about the sentencing guidelines **NOT** Section 37 of the Health and Safety at Work etc Act 1974.
- You **must** support your answer with evidence from the scenario.

### Task 3: Organisational and individual factors

- 3 (a) Comment on the *organisational* factors that could have contributed to the poor health and safety culture at the haulage company. (15)
- Note:** You should support your answer, where applicable, using relevant information from the scenario.
- (b) Comment on the *individual* factors that could have contributed to the poor health and safety culture at the haulage company. (15)
- Note:** You should support your answer, where applicable, using relevant information from the scenario.

### Task 4: Supply chain and corporate social responsibility obligations

- 4 (a) The haulage company's main client is a car manufacturer that is a supply chain focal company.
- (i) Outline the role of a supply chain focal company. (4)
- (ii) Based on the scenario, what are the implications for the haulage company of the car manufacturer's focal company role? (6)
- Note:** You should support your answer, where applicable, using relevant information from the scenario.
- (b) Comment on what the car manufacturer's corporate social responsibilities (CSR) responsibilities are likely to be. (10)
- Note:** You should support your answer, where applicable, using relevant information from the scenario.

## Part 2: Workplace-based activities



This part of the assessment requires learners to carry out activities in a workplace. You must, therefore, ensure that you select a suitable workplace/organisation for this part of the assessment. **This does not have to be your own workplace/organisation.** Each paper will generally contain up to six activities in this part that will change with each paper.

### Activity 1: Create an organisational risk profile

#### 1 (a) Introduction

Give a clear description of your chosen organisation that includes detail on the size of the organisation in terms of worker numbers, the typical activities carried out (which should include brief details of any raw materials used if relevant), shift patterns (if relevant) and any other relevant details.

**Note:** You must 'paint a clear picture' for the Examiner so that they can get an understanding of your organisation to be able to award marks for your risk profile.

(5)

#### (b) Produce a risk profile of your chosen organisation's *health and safety risks only*.

The risk profile must consider the

- nature and level of threats faced by the organisation
- likelihood of adverse effects occurring
- likely level of disruption should adverse effects occur
- likely costs associated with each type of risk
- effectiveness of the controls in place to manage the identified risks.

(40)

### Activity 2: High reliability organisations

#### 2 Analyse your chosen organisation against the five characteristics of high reliability organisations (HROs).

Your analysis must

- evaluate how your chosen organisation performs against each of these HRO characteristics
- make 5 realistic recommendations to improve the reliability of your chosen organisation (one taken from **EACH** of the characteristics).

(40)

### Activity 3: Monitoring and measuring

- 3 (a) Comment on how effectively your chosen organisation monitors and measures health and safety performance. (15)
- (b) Produce an action plan for **five** health and safety monitoring and measuring improvements that your chosen organisation could put into place.
- These improvements must be realistic and the action plan must include
- a detailed description of what the action is intended to do
  - a detailed description of what will actually be done/put into place
  - who is responsible for carrying out/implementing the action
  - timescales for the action to be carried out
  - when and how you will check the effectiveness of each action. (15)

## Part 3: Reflection



The aim of this part of the assessment is for you to reflect on transferable leadership and professional skills that you may already have and/or need to develop. These skills could have been acquired either through your work life (whether this is in health and safety or some other work activities) or your personal life.

For instance, you may want to draw examples where you have been chairing a meeting or been required to make decisions under pressure. Alternatively, you may carry out voluntary work and want to draw on this for your examples. The examples can be from any element of your working or personal life.

### Task 1: Transferable leadership skills

- 1 (a) Using relevant examples from your personal experience, evaluate your leadership style against the characteristics of **EACH** of the following leadership styles
- (i) transformational
  - (ii) transactional
  - (iii) authentic
  - (iv) resonant. (40)
- Note:** You should aim to complete your evaluation in approximately 1000 words.
- (b) Produce an action plan that details **three** realistic improvements that you could make to your own leadership style. (30)
- Note:** You should aim to describe **EACH** improvement in approximately 250 words.



## Task 2: Effective communication and financial justification

- 2 Explain how you have influenced or negotiated an issue/situation by using effective communication.

Your answer must include

1. Background to the issue/situation.
2. The role that you played.
3. The types of significant stakeholders and their influence.
4. The effectiveness of consultation.
5. Why you chose the communication methods you did and how effective they were.
6. The feedback you received from the process and why this was important.
7. The actual outcome and how well this compared to the intended outcome.
8. The impact of your involvement and what you brought to the process.
9. Any lessons that you learned from the process.

(50)

**Note:** The issue/situation can be from an existing or a previous job role and does **not** have to be a health and safety issue/situation.

You should aim to complete this part of the assessment in approximately 1500 words.

## Task 3: Role of the health and safety professional

- 3
- (a) Describe your role in an organisation's health and management system (this could be a formal or informal system). (15)
  - (b) Describe a situation where you had to recognise the limits of your own competence and how you dealt with this. (10)

**Note:** You should aim to provide a description of **EACH** case in approximately 300 words.

## Part 4: Research project



There is no unique answer for this part of the assessment. The research project allows the learner to demonstrate and evidence informed arguments. The research topic will change with each paper.

### Research topic – how health and safety has changed

The Health and Safety at Work etc Act 1974 (HASAWA) is nearly 50 years old.

Prepare a brief report (no more than 3000 words) on **what you believe** are the three most important changes that have happened to health and safety since HASAWA came into force.

You must provide a justification for your reasoning and provide a list of reference sources.

(150)