



## **Health and Safety Policy Arrangement**

### **Section 15 – Information, Instruction, Training and Supervision**

## **Arrangement Section 15 – Information, Instruction, Training & Supervision**

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Further guidance on this matter can also be obtained from the Health and Safety Unit  
Telephone No. 01698 520645

## **Arrangement Section 15 - Information, Instruction, Training and Supervision**

### **1. Introduction**

A key requirement to good health and safety management is the provision of such information, instruction, training and supervision as is necessary to ensure, so far as is reasonably practical, the health and safety at work of employees (Health and Safety at Work etc. Act 1974 refers).

This key requirement appears in most of the more recent Health and Safety legislation, most notably the Management of Health and Safety at Work Regulations 1999.

Detailed within this document are the main areas of legislation requiring North Lanarkshire Council to provide comprehensive and relevant information, instruction, training and supervision to employees, and others as necessary who may be affected by the undertakings of the Service.

### **2. Statement**

The Council will endeavour to fulfil its various legal obligations to provide information, instruction, training and supervision.

#### **(a) Information and Instruction**

Services will ensure that necessary information and instruction is provided to all employees. The content of this will be appropriate to the level of risk and will be reviewed in the light of experience and new guidance from HSE or other bodies.

#### **(b) Training**

Each employee will be provided with adequate health and safety training:

(i) On appointment

(ii) On their being exposed to new or increased risk as a result of transfer or alteration to the work activity, environment, work equipment or systems of work in use.

#### **(c) Supervision**

Services will ensure that all employees are effectively supervised. However, the amount of supervision that someone requires varies from person to person and role to role. Certain groups may require a higher level of care or supervision, for example pregnant woman, disabled workers or those where English is not their first language.

Assistant Chief Executives will ensure that a system of training is developed within their Services to meet the legal obligations. Training schemes should be developed in conjunction with the relevant Service Training Team and Health and Safety Section. Assistant Chief Executives will also take steps to ensure that competent supervision is provided.

### **3. Information and Instructions for Employees**

Each Assistant Chief Executive or Head of Service will endeavour to provide employees with comprehensible and relevant information on:

- (a) the risks to their health and safety identified by a risk assessment;
- (b) the preventive and protective measures;
- (c) the procedures developed in response to foreseeable emergencies such as fire, bomb or gas leaks;
- (d) specific roles undertaken within procedures identified for these foreseeable emergencies; and
- (e) the risks made known to the Service by other employers or Services sharing a workplace or operating close by.

Before providing a work experience placement for a young person (e.g. school pupil), each Assistant Chief Executive or Head of Service will endeavour to provide the relevant parent/guardian with comprehensible and relevant information on:

- (a) the risks to his/her health and safety identified by a risk assessment;
- (b) fire safety information relevant to the young person's placement;
- (c) the preventive and protective measures; and
- (d) the risks associated with the work activities of neighbouring employers.

#### **4. Capabilities and Training**

In entrusting tasks to employees, each Assistant Chief Executive or Head of Service will endeavour to take into account an employee's capabilities as regards health and safety and ensure that they are provided with adequate health and safety training in the following circumstances:

- (a) on their being recruited into the Service; and
- (b) on their being exposed to new or increased risks because of:
  - their being transferred or given a change of responsibilities within the Service;
  - the introduction of new work equipment into or a change respecting work equipment already in use within the Service;
  - the introduction of new technology into the Service; or
  - the introduction of a new system of work into or a change respecting a system of work already in use within the Service.

Where training is provided then it should:

- (a) be repeated periodically where appropriate;
- (b) be adapted to take account of any new or changed risks to the health and safety of the employees concerned; and
- (c) take place during working hours.

Assistant Chief Executives have responsibility to ensure that a system of training is developed within their Service to meet the specific legal obligations pertaining to the work involved. Training programmes should be developed in conjunction with the relevant Service Training Team.

#### **5. Induction Training**

Services are required to provide adequate health and safety training at the point of recruitment. In addition there is also the duty to provide information on the arrangements put in place to seek compliance with all relevant pieces of health and safety legislation.

## Content

General induction training will be supported by risk specific training and should take place as soon as possible after the commencement of employment it should cover basic health and safety topics that would at least include:

- i) First Aid Procedures;
- ii) Fire Evacuation/Emergency Procedures;
- iii) Risk assessment introduction/awareness to include, where appropriate:
  - General Risk Assessment;
  - Control of Substances Hazardous to Health Assessments;
  - Manual Handling Assessments;
  - Display Screen Equipment Assessments;
  - Noise at Work Assessments;
  - Fire Risk Assessments;
- iv) Accident Reporting Procedures;
- v) Appropriate Safe Systems of Work;
- vi) Employees Duties under appropriate legislation.

## Specific Categories

Induction training should be applied as appropriate to the following categories:

- i) Skillseekers / Youth Trainees;
- ii) Work Experience Placements;
- iii) New Employees;
- iv) Contractors;
- v) Existing Employees (as regular refresher training).

Further guidance on this matter can be obtained from the relevant Service Training Team or the relevant Service Health and Safety Team.

## 6. Supporting Resources and Guidelines

Often, more than one set of regulations apply to the same hazard or work activity and some may be more detailed than others, or worded differently, perhaps because they give effect to European Directives. Nevertheless, information, instruction and training about a hazard or work activity can be provided and satisfy, at the same time, all the requirements.

Table 1 is a brief summary of the information and training requirements in regulations which apply to a wide range of work activities. It sets out:

- who needs to provide information and/or training;
- to whom;
- what needs to be provided; and
- when

### When specific duties overlap

Where legislative requirements completely overlap, if efforts are made to satisfy the information, instruction and training requirements of the most detailed regulations, then normally nothing else is required to comply with requirements of other regulations that overlap. For example, if display screen equipment is the only work equipment provided for employees, then there is no need to do any more about this equipment under the PUWER Regulations than will have been done under the Display Screen Equipment Regulations (DSE). (The PUWER Regulations explicitly

mention providing information on "any conclusion to be drawn from experience in using the work equipment", but in practice this overlaps with the DSE Regulations requirement to provide information on "all aspects of health and safety" relating to someone's workstation).

## **Definitions**

There is no legal definition of 'information', 'instruction' and 'training'. The three terms are linked in practice:

- a) information means providing factual material which tells people about risks and health and safety measures;
- b) instruction means telling people what they should do; and
- c) training means helping them learn how to do it, but can include giving information and instruction.

## **General Expectations surrounding the provision of information, instruction and training**

The information given to employees must be relevant - that is, what they need to know and when they need it - and in a form they can understand.

All employees must be told about health and safety law and given the address of the enforcing authority, either by displaying a (Health and Safety Law - what you should know) approved poster, or by giving them an approved leaflet - both are available from HSE Books.

## **7. Duties to people who are not your employees**

Section 3 of the HSW Act requires employers and self-employed people to conduct their undertaking in such a way as to ensure, so far as is reasonable practicable, that people not in their employment are not exposed to risks to their health and safety. So there may be a need to provide information, instruction and training to some people who are not employees where it is necessary for health and safety.

The Control of Substances Hazardous to Health Regulations (COSHH) and the Noise at Work Regulations, for example, say which other people exposed to those hazards require information, instruction and/or training:

- any other person, whether at work or not, who may be affected (COSHH);
- any other person at work who may be affected (Noise at Work).

In both cases the duty applies "so far as is reasonably practicable". But the Management Regulations require the employer to always provide information on risks arising from a work activity and on health and safety measures to a number of persons, namely:

- self-employed people working for the employer;
- temporary staff and contract labour;
- employers of any staff carrying out work;
- other employers who share an employer's premises;
- any employment business which supplies temporary staff or contract labour and if someone has been appointed to help carry out these duties under health and safety law, then they must give them the information needed in order to provide the assistance.

## Resources

A number of management support documents are contained within this arrangement section. These documents aim to provide managers and supervisors with a range of guidelines and assessment tools that will facilitate the effective delivery of all necessary information, instruction, training and supervision. These are outlined as follows:

### Appendix 1: Assessment of Competence – Performance Review Guidance

This appendix aims to provide managers with general guidance on the competence issues that need to be addressed during a "performance review" interview.

### Appendix 2: Manager Checklist for Capabilities and Training

In order to assist managers and supervisors prepare for the performance review process a series of questions have been prepared to encourage the interviewer to have at hand the information needed to ensure the health and safety considerations are concluded effectively.

### Appendix 3: Aide Memoir - Health and Safety Topics

This appendix outlines the main health and safety topics that require an element of competence to be determined prior to an employee starting a specific work activity. The list is not exhaustive and some specialist areas will need specific attention by local managers.

### Appendix 4: Training Matrix

This appendix provides an indication of the training courses that should be considered for certain groups of employees. Where job titles are not included, local managers should develop a grid that reflects the training needs of their own teams, taking on board the matters outlined elsewhere in this arrangement section.

### Appendix 5: Safety for Managers Training - Decision Tree

This appendix is aimed specifically at allowing managers and supervisors to determine the correct level of health and safety training for themselves. More advice on the correct level of training is always available from the relevant Service Health and Safety team.

### Appendix 6: Employee Information Sheet

This appendix aims to give employees an outline of the duties placed upon the Council and its employees

## 8. Employee's duties

Employees have a range of duties placed upon them by legislation. In relation to the provision of information, instruction and training employees are expected to:

- Use all provided work items correctly and in accordance with their training;
- Participate in all instruction and training sessions provided by the Council in response to duties placed upon the Council by health and safety legislation;
- To take provided information and apply this appropriately to work activities;

- Notify managers/supervisors of situations where information, instruction and/or training appears inadequate to deal with work situations.

There is a duty on employees to inform their employer or another employee with responsibility for health and safety of any work situation which they consider creates a serious imminent danger. Such situations can develop when employees have not received necessary health and safety instruction or training.

## **9. Supervision**

The Assistant Chief Executive or Head of Service shall provide competent supervision as is necessary to ensure, so far as is reasonably practicable, the health and safety at work of employees and of others who may be affected by the work activity. This principally means that people around the workplace are not exposed to risks to their health or safety.

Additionally, in some situations it may be necessary for supervisors/managers to take steps to provide persons, who are not employees, information about how the work activity might affect their health or safety, for example, asbestos removal in buildings or premises.

Supervision includes, but is not limited to, the undertaking of regular checks/inspections to ensure team members are implementing safe systems of work, using the training provided and working in a safe and appropriate manner.

Those expected to provide supervision must have undertake the appropriate managing health and safety training. IS26 - Safety Training for Managers offers some guidance as to the types of training that may be appropriate.



**Table 1: Summary of Duties to Provide Information, Instruction, Training and Supervision**

**Table 1 SUMMARY OF DUTIES TO PROVIDE INFORMATION, INSTRUCTION, TRAINING AND SUPERVISION**

Regulations Features	<b>MANAGEMENT OF HEALTH AND SAFETY AT WORK REGULATIONS 1999 (MHSW)</b>	<b>MANUAL HANDLING OPERATIONS REGULATIONS 1992 (MHO)</b>	<b>PROVISIONS AND USE OF WORK EQUIPMENT REGULATIONS 1998 (PUWER)</b>
WHO HAS DUTY?	Employers and self employed, employees	Employers and self-employed	Employers and self-employed, and persons in control of premises, and occupiers of a factory
WHO HAS TO BE PROVIDED WITH WHAT INFORMATION, INSTRUCTION AND TRAINING	<p>(1) Employee to receive: (a) comprehensible and relevant information on risks, preventive under various regulations; and (b) adequate health and safety training.</p> <p>(2) The person assisting with health and safety duties needs to have: (a) information about people employed on fixed-term contract or employed by an employment business (eg agency staff), and, if the person assisting is not an employee, they need to be informed of factors affecting the health and safety of any other person who may be affected, and have access to the information for employees above: (b) sufficient training and experience or knowledge and other qualities to be able to undertake measures properly.</p> <p>(3) No need for person to assist, if the partner or sole trader has sufficient training and experience or knowledge and other qualities to undertake measures properly.</p> <p>(4) Other employers/self -employed sharing premises need to be informed about risks to their employees' or own health and safety from undertaking.</p> <p>(5) Employer or any 'visiting' staff, or staff themselves if self-employed, need comprehensible information on risks to those employees' health and safety from undertaking; and on measures taken.</p> <p>(6) Temporary staff need information on special occupational qualifications or skills needed, and on any health surveillance required.</p> <p>(7) Suppliers of contract workers need information on special occupational qualifications or skills needed, and on the specific features (concerned with health and safety) of the job to be filled, so that they can pass this on to those employees.</p>	Employees who are undertaking manual handling operations need general indications and, where reasonably practicable, precise information on the weight of each load, and the heaviest side (if there is one).	<p>(1) All persons who use work equipment (including hand tools) need adequate information and, where appropriate, written instructions on: a) conditions and methods of use; b) foreseeable abnormal situations, and what to do, c) conclusions drawn from experience.</p> <p>(2) Employees who use work equipment (including hand tools), and employees who supervise or manage the use of work equipment need adequate health and safety training, including methods to be adopted, any risks that use many entail, and precautions to be taken</p>

**Table 1 SUMMARY OF DUTIES TO PROVIDE INFORMATION, INSTRUCTION AND TRAINING**

Regulations Features	<b>MANAGEMENT OF HEALTH AND SAFETY AT WORK REGULATIONS 1999 (MHSW)</b>	<b>MANUAL HANDLING OPERATIONS REGULATIONS 1992 (MHO)</b>	<b>PROVISIONS AND USE OF WORK EQUIPMENT REGULATIONS 1998 (PUWER)</b>
<b>WHEN DOES IT NEED TO BE PROVIDED</b>	<p>information for suppliers of contract workers needs to be provided before temporary workers are engaged.</p> <p>Training (1) on recruitment (2) on being exposed</p>	Not specified	Not specified
<b>MAIN SOURCE OF FURTHER INFORMATION</b>	<p>L121 - Management of Health and Safety at Work: Approved Code of Practice ISBN 0 7176 24889</p>	<p>L23 - Manual Handling: Manual Handling Operations Regulations 1992: Guidance on the Regulations ISBN 0 7176 0411 X IND(G) 143L - Getting to grips with manual handling (leaflet)</p>	<p>L22 - Guidance on Provision and Use of Work Equipment Regulations ISBN 0 7176 16266</p>

**Table 1 SUMMARY OF DUTIES TO PROVIDE INFORMATION, INSTRUCTION, TRAINING AND SUPERVISION**

<b>Regulations</b>	<b>PERSONAL PROTECTIVE EQUIPMENT AT WORK REGULATIONS 1992 (PPEAW)</b>	<b>HEALTH AND SAFETY (DISPLAY SCREEN EQUIPMENT) REGULATIONS 1992 (DSE)</b>	<b>CONTROL OF SUBSTANCES HAZARDOUS TO HEALTH REGULATIONS 2002 (COSHH)</b>	<b>CONTROL OF NOISE AT WORK REGULATIONS 2005 (CNAW)</b>
<b>Features</b>				
WHO HAS DUTY?	Employers and self-employed	Employers only	Employers and self-employed	Employers and self-employed
WHO HAS TO BE PROVIDED WITH WHAT INFORMATION, INSTRUCTION AND TRAINING?	<p>Employees for whom PPE is required to be provided need information, instruction and training as is adequate and appropriate, about:</p> <ul style="list-style-type: none"> <li>a) risk (s) the PPE will avoid or limit;</li> <li>b) purpose and manner of use;</li> <li>c) what employees need to do to ensure PPE remains in efficient state and working order, and good repair.</li> </ul> <p>This information needs to be easily understood by the person for whom it is provided.</p>	<p>(1) For 'users':</p> <ul style="list-style-type: none"> <li>a) adequate health and safety training in the use of any workstation to be used;</li> <li>b) adequate information about health and safety relating to their workstations, and such measures taken by employer - as relate to them - under reg 2 (workstation analysis), reg 3 (workstation requirements), reg 4 (activity breaks), reg 6 (2) (training when workstation modified) - also reg 5 (eye/eyesight tests) and reg 6 (1) (initial training) for users who are your own employees.</li> </ul> <p>(2) For 'operators': adequate information about health and safety relating to their workstations, and such measures taken by employer under regs 2 and 3 as relate to them.</p>	<p>(1) Employees exposed, or who may be exposed, to substances hazardous to health; and</p> <p>(2) other people on the premises where work is being carried on, so far as is reasonably practicable:</p> <ul style="list-style-type: none"> <li>need suitable and sufficient information, instruction and training to know: <ul style="list-style-type: none"> <li>a) risks to health created by exposure to substances hazardous to health;</li> <li>b) precautions which should be taken.</li> </ul> </li> </ul> <p>The information should include the results of any exposure monitoring required, and the collective results of any health surveillance required.</p> <p>(3) People carrying out work in connection with duties of employers under these regs, whether employees or not, to be given necessary information, instruction and training.</p>	<p>(1) Employees likely to be exposed to daily personal noise levels above 80 dB(A); and</p> <p>(2) other people at work who may be affected by the work carried on and likely to be exposed to daily personal ear protectors provided under the regulations;</p> <p>d) their obligations.</p>
WHEN DOES IT NEED TO BE PROVIDED?	Not specified	Training when an employee is about to become a 'user' and whenever 'user's workstation is substantially modified	Not specified	When likely to be exposed to daily personal noise levels of 80dB(A) or more, or when likely to be exposed to peak sound action levels

**Table 1 SUMMARY OF DUTIES TO PROVIDE INFORMATION, INSTRUCTION, TRAINING AND SUPERVISION - Cont'd...**

<p><b>Regulations</b></p> <p><b>Features</b></p>	<p><b>PERSONAL PROTECTIVE EQUIPMENT AT WORK REGULATIONS 1992 (PPEAW)</b></p>	<p><b>HEALTH AND SAFETY (DISPLAY SCREEN EQUIPMENT) REGULATIONS 1992 (DSE)</b></p>	<p><b>CONTROL OF SUBSTANCES HAZARDOUS TO HEALTH REGULATIONS 2002 (COSHH)</b></p>	<p><b>CONTROL OF NOISE AT WORK REGULATIONS 2005 (CNAW)</b></p>
<p>MAIN SOURCE OF FURTHER INFORMATION</p>	<p>L25 - Personal protective equipment at work: Guidance on Regulations ISBN 0 7176 0415 2</p>	<p>L26 - Display screen equipment work: Health and Safety (Display Screen Equipment) Regulations 1992: Guidance on Regulations ISBN 0 7176 0410 1                      *The terms 'user' and 'operator' are defined in the regulations as follows:                      'operator' means a self-employed person who habitually uses display screen equipment as a significant part of his or her normal work;                      'user' means an employee who habitually uses display screen equipment as a significant part of his or her normal work.</p>	<p>L5 - Control of substances hazardous to health and control of carcinogenic substances: Control of Substances Hazard to Health Regulations 1994: Approved Codes of Practice 1997 ISBN 0 7176 13089</p>	<p>IND(G)75(L) (Rev) The Noise at Work Regulations: a brief guide to the requirements for controlling noise at work</p> <p>Noise at work                      Noise guide No 1: legal duties of employers                      Noise guide no 2: legal duties of designers, manufacturers, importers and suppliers ISBN 0 7176 09618</p>

**Table 1 SUMMARY OF DUTIES TO PROVIDE INFORMATION, INSTRUCTION, TRAINING AND SUPERVISION**

<b>Regulations</b>	<b>HEALTH AND SAFETY (FIRST AID) REGULATIONS 1981 (FA)</b>	<b>ELECTRICITY AT WORK REGULATIONS 1989 (EAW)</b>	<b>SAFETY REPRESENTATIVES AND SAFETY COMMITTEES REGULATIONS 1977 (SRSCR)</b>	<b>HEALTH AND SAFETY SAFETY SIGNS AND SIGNALS REGULATIONS 1996</b>	<b>HEALTH AND SAFETY INFORMATION FOR EMPLOYEES REGULATIONS 1989 (HSIER)</b>
<b>Features</b>					
<b>WHO HAS DUTY?</b>	Employers only	Employers and mine quarry managers, and self-employed, and employees	Employers only	Employers only	Employers only
<b>WHO HAS TO BE PROVIDED WITH WHAT INFORMATION AND TRAINING?</b>	<p>Employees need information on arrangements made in connection with the provision of first aid, including location of equipment, facilities and personnel.</p> <p>Employers must provide HSE-approved training of an adequate number of first-aiders</p>	<p>Anyone who may be engaged in any work activity in connection with electricity which required technical knowledge or experience to prevent risk of injury needs such knowledge, experience or appropriate supervision as is necessary to prevent risk of injury from such work activity</p>	<p>Safety representatives whose appointment has been notified in written to the employer by a recognised trade union need information within the employer's knowledge (except as specified in the regs) which is necessary for them to perform their duties.</p> <p>Time off with pay for training in aspects of safety reps' functions as may be reasonable.</p>	<p>Employees have to be provided with:</p> <p>comprehensive and relevant information on measures taken in connection with them; and</p> <p>suitable and sufficient instruction and training in the meaning of safety signs and measures taken in connection with safety signs.</p>	<p>Employees have to be provided with information relating to health, safety and welfare:</p> <p>In the form of an approved poster, which the employer needs to display in a readable condition at a place which is reasonable accessible and in such a position as to be easily read;</p> <p>or</p> <p>in the form of an approved leaflet which the employer may give to each employee instead.</p>
<b>WHEN DOES IT NEED TO BE PROVIDED?</b>	Training to be provided before first-aiders appointed. Additional training as appropriate.	Before being engaged on such work activity.	Not specified	Not specified	The approved leaflet to be given as soon as is reasonably practicable after the employee(s) starts. The approved poster to be displayed as soon as is reasonable practicable after any employees are taken on.
<b>MAIN SOURCE OF FURTHER INFORMATION</b>	L74 Health and Safety (First Aid) Regulations 1981: Approved Code of Practice and Guidance 1997 ISBN 0 7176 10500	HS (R) 25 - The memorandum of guidance on the Electricity at Work Regulations 1989 ISBN 0 71 76 16029	L87 - Safety Representatives and safety committees ISBN 0 7176 1220 1	L64 0 Safety signs and signals: the Health and Safety (Safety Signs and Signals) Regulations 1996: Guidance on Regulations ISBN 0 7176 0870 0	Health and safety law: what you should know (poster) ISBN 5733 07 176 13801

**Table 1 SUMMARY OF DUTIES TO PROVIDE INFORMATION, INSTRUCTION, TRAINING AND SUPERVISION**

<b>Features</b>	<b>DIFFERENCES IN REQUIREMENTS</b>	<b>PRACTICAL SIGNIFICANCE</b>
<b>WHO HAS DUTIES?</b>	<p>All regulations place information and training duties on the self-employed in respect of themselves as well as on employers in respect of their employees - except DSE, First Aid, SRCSR and HSIER, where there is no duty on the self-employed; and PUWER which place similar duties on the occupier of a factory and anyone in control of non-domestic premises used as a place of work as on employers.</p> <p>The Electricity at Work Regs places a duty on everyone not to do any work unless competent.</p>	<p>Even though DSE and First-Aid place no duties on the self-employed, the general duties of the HSW Act mean that they must provide training for themselves, but only "so far as is reasonably practicable".</p> <p>The PUWER duties do not mean that the employer, and the 'factory occupier' or 'person in control' of non-domestic places of work (who are not necessarily employers) need to provide duplicate information, instruction and training. They can agree which of them does so.</p> <p>Though the Electricity at Work Regs place a duty on employees, employers still have a responsibility for ensuring that their employees are competent.</p>
<b>WHO HAS TO BE PROVIDED WITH WHAT INFORMATION, INSTRUCTION AND TRAINING</b>	<p>All the regs require information, instruction and training to be provided for employees without qualification by 'so far as is reasonable practicable'.</p> <p>The Management, DSE (for operators) and PUWER require information to be provided to people at work other than employees, without qualification by 'so far as is reasonable practicable'.</p> <p>The COSHH and Noise Regs have requirements for people other than employees to receive information, instruction and training that are qualified by 'so far as is reasonably practicable'.</p> <p>Some regulations require "adequate and appropriate" information, instruction and training, others require information and instruction to be "suitable and sufficient", or "such training as is necessary", or "such knowledge and experience as is necessary".</p> <p>The Manual Handling and the Safety Reps Regs are limited to provide information. Others require information, instruction and training.</p> <p>The First-Aid Regs require specified training to be provided.</p>	<p>The unqualified requirements under the Management, DSE and PUWER relate only to providing specified information and training. The other regulations include the 'so far as is reasonable practicable' qualification because the requirement is otherwise much wider.</p> <p>These differences are not significant.</p> <p>Differences are significant, and mean that there is no specific duty to provide instruction and training under MHO and SRSC. But the Management Regs and HSW Act requirements to provide training still apply for manual handling, and paid time off for safety reps' training must be provided.</p>
<b>WHEN DOES IT NEED TO BE PROVIDED</b>	<p>The Management Regs require training on recruitment, on being exposed to new or increased risks and as appropriate.</p> <p>The DSE Regs require training when an employee is to become a 'user' and when a 'users' workstation is modified.</p> <p>Most regulations do not specify when information, instruction and training is to be provided.</p>	<p>Differences are not significant. The DSE requirements are consistent with the Management Regs.</p> <p>Difference is not significant as the Management Regs apply anyway.</p>

## Assessment of Competence – Performance Review Guidance

### Competence

The Health and Safety Executive have defined competence as the ability to undertake responsibilities and perform activities to a recognised standard on a regular basis. It is a combination of skills, experience and knowledge. Competence issues have been identified as root causes in many major accidents. It is with this in mind and the desire to maintain a healthy workforce that this guidance is given to managers that are undertaking employee reviews, performance reviews or similar.

Every manager/supervisor must ensure that those undertaking work tasks are skilled to an appropriate level to undertake the job properly. The performance review system is a useful tool in ensuring the assessment of health and safety competence is being undertaken and recorded.

The issue of competence relates to the whole role, not just the health and safety elements of the role being undertaken, thus managers/supervisors will need to ensure all skill areas are considered

### Key principles

1. Competence assurance should be linked to key responsibilities and activities identified in the role description and the risk assessments that exist for the work activities.
2. Competency assurance systems should aim to establish and maintain competency for *all* those involved in the work activity, including managers.
3. S/NVQs should include site specific aspects, and be linked to the identified hazards.
4. 'On the job' training should be structured and supported by other forms of training.
5. Training should be *validated* ('Did it deliver what it was supposed to?'), and *evaluated* ('Is this the *right* kind of training for our needs?') and *recorded*.
6. There should be refresher training for infrequent or critical safety tasks.
7. Link to procedures – the format and content of procedures should be influenced by staff competence.

### Process

Competence assessment is an ongoing process and can best be described in 4 stages:

#### 1) Review

Whilst undertaking the performance review, the manager/supervisor needs to discuss with the employee concerned the specific work activities that are associated with the role, or are about to be associated with the role.

The health and safety implications of such work activities must be identified during this stage



## **2) Appraise Skills**

This stage is about determining the level of competence that already exists within the employee. This can be as simple as noting relevant certification that exists, e.g. PCV driving licence, Construction Skills Card, membership certificate for professional body etc.

Other considerations will be internal training courses, other training courses, experience of task and work activity.

Each work activity and/or item of work equipment will be associated with a level of competence that will allow work to take place safely.

## **3) Discuss**

Discussions will then take place to ensure that council standards are being met, where this is not the case then a gap has been identified and the manager/supervisor will need to identify a development plan that can fill the gap.

It is important to recognise that work activities requiring a specific level of competence should not be undertaken until by the employee has reached that level of competence or is being supervised by somebody with that level of competence.

## **4) Adequately Prepare**

The next stage is about making sure the employee is adequately prepared for the work tasks ahead, this might mean job shadowing, supervised work over an agreed timescale or attendance at a specific training course.

It should be noted that just because someone has attended a training course it does not mean they are competent. For example, someone holding a driving licence may never have driven on a motorway, thus although they have attended a training course on driving and passed a driving test, they are not competent to drive on a motorway and there should be no expectation from the manager that they will do so on behalf of the council.

Regular update training should also be taking place.

All training and development activities must be recorded using the Brightwave Management Centre (BMC) through the relevant Service co-ordinator.

## **5) Repeat**

This process needs to be repeated on a regular basis, normally every 6 months, or sooner where there is a change to the work activity, a new activity is introduced or there is a change in personal circumstance for the employee e.g. illness.

This process can be best summarised in figure 1 "RADAR, a competence assessment model".



Figure 1 - "RADAR, a competence assessment model"

Like a RADAR, the whole process is about looking forward to see what is coming and ensuring the appropriate employees have the correct skills and experience to allow the tasks to be undertaken safely.

Appendix 2 provides a checklist aimed at helping managers to prepare for a performance review and give appropriate consideration to the health and safety matters.

Further guidance is given within appendix 3 on the main health and safety issues that may come up during a review meeting, it is not an exhaustive list and managers are advised to take the main lead from their risk assessment covering the work activities of the employee involved in the review.

## Manager Checklist for Capabilities and Training

In order to assist managers/supervisors prepare for the RADAR process, the following questions can help set a foundation for the performance review meeting.

Know all hazards that could arise in every task (including normal operational, maintenance and emergency tasks)	
Have a good selection process to identify suitable employees or contractors for those tasks	
Know the exact type of person to assign to each task	
Be able to always put the right person onto a particular job	
Identify any gaps in a person's skill or knowledge or experience (competence)	
Know the best way of providing the skills and knowledge that people need (e.g. training, including on the job)	
Have access to the best training resources (training facilities, trainers and equipment)	
Make it easy for people to get the training they need	
Always use actual work instructions/procedures/ localised risk assessments in the training	
Continually improve own as well as employee competence	
Take steps to ensure employee does not do a job they're not competent to do	
Assess whether training has worked	
Consider if retraining of some people may be required	
Keep good records so that we know what training/experience each person has had and what they need next	
Change the selection, training and assessment system if it isn't working	

### Aide Memoir: Health and Safety Topics

The following list outlines some of the main health and safety topics that feature within the work activities of council services, if an employee is expected to deal with the topic on some way then their competence must be assessed.

A scoring mechanism is provided to aid, if required, in the overall assessment of an employee.

<b>Topic</b>	<b>Notes</b>	<b>Category</b>
Asbestos	Most employees need only know where it might be in the workplaces they use and the action to be taken when damaged asbestos is identified. Online training is available to assist with this area. Those involved in managing properties may need more detailed training.	
Blood Borne Viruses	Those employees who will be expected to deal with body fluids of any kind must be made aware of the issues and given adequate instruction or training on how to deal with body fluids safely.	
Confined Spaces	People expected to enter spaces that fall within the definition of a confined space need to be made aware of the risks and be able to undertake specific risk assessments for these work areas, this can include attic spaces, solum areas, storage areas etc.	
Hazardous Substances	Substances that are regarded as hazardous to health need to be formally assessed, part of the overall findings will require employees using such substances to be competent in their use.	
Display Screen Equipment	Employees using display screen equipment such as computers will need to have been made aware of the health and safety issues associated with the work activity. An online training module exists to help improve the competence of those using DSE. The online training module does not address the competence issues surrounding software or peripherals.	
Foreseeable Emergencies	Employees need to be competent to follow the expected actions in the event of an emergency. For many this may simply be regular involvement in the evacuation process for a building. Others with more specific duties or exposure to other foreseeable emergencies will need additional training and assessment of competence.	

First Aid	Those employees expected to provide first aid on behalf of the employer will require a degree of competence to deliver this service. Accordingly some training and/or assessment of competence must be delivered to relevant employees. Consider need for HSE approval for training courses	
Manual Handling	Employees that are expected to move or handle items or people will need to develop a level of competence in this field. Manual Handling is one of the main causes of injury and work related absence and therefore merits proper consideration. A number of training options exist for this topic.	
Noise	If working in an environment where noise can be an issue, have employees been advised of the outcome of the noise risk assessment? Are they able to utilise the control mechanisms effectively to control the noise, and have then received instruction and training on the use of any personal protective equipment provided. Do those in the work area understand the health risks associated with noise	
Vibration	Employees are expected to understand the dangers associated with vibration. Steps need to be taken to ensure they understand the safe systems of work and can use the various items of work equipment effectively.	
Occupational Driving	If an employee is driving a vehicle of any type on behalf of the council, there is a need to ensure they are competent to undertake that driving task. Simply holding a driving licence does not constitute competence in all aspects of driving, for example driving a vehicle larger than normal, motorway driving, driving in the dark poor weather. Steps need to be taken to ensure staff are only asked to undertake driving duties they are competent to do.	
Pressure Systems	If an employee is working with equipment that has air or liquid under pressure, then there is a need to ensure relevant employees are fully aware of the dangers associated with the pressurised system. Employees must be fully aware of the safe system of work	

Work Equipment	The law requires that employees use only work equipment that they are competent to use. With this in mind managers need to be comfortable that employees are fully aware of the significant risks, to themselves and others, associated with the work equipment being used. There is an expectation that a written document will exist showing all those that deemed competent to use various items of work equipment	
Construction Site, Structures and Excavations	If there is an expectation that an employee will visit a construction site, then steps must be taken to ensure they have an understanding of the risk associated with the various types of sites visited, use of an assessment scheme such as CSCS should be considered.	
Risk Assessment	Any employee undertaking risk assessments of any type need to be competent to do so. This is normally achieved by attendance at a recognised training course.	
Violence and Lone Working	Working in circumstances where there is risk of violence or there is vulnerability because of lone working will require a degree of information, instruction and training. Employees need to be fully aware of the systems in place to protect their safety and competent to use the control measures offered.	
Lifting Operations and Equipment	Where a work activity is taking place that is linked to, or associated with, equipment that moves people or objects then there is a need to ensure employees are fully aware of how to use the equipment and the actions to be taken to maintain it or deal with faults.	
Pesticides	Employees using pesticides of any type must have attended a relevant training course, or have documented evidence of being assessed as competent in its use	
Radiation	If employees are expected to use equipment that contains a radiation source, then steps must be taken to ensure their competence in its use, maintenance and disposal.	
Biological agents	Employees involved in the use of biological agents must undergo a specific assessment of their competence to handling such materials.	
Lead	Employees working with lead must be made aware of the dangers associated with the material and be fully aware of the precautions that must be taken when using or disposing of the material.	

Work at height	Falling from height is one of the main reasons for work related fatalities, with this in mind, managers need to ensure that where the work cannot be undertaken on the ground instead, employees working at any height above the ground are fully aware of how to use the required access equipment, and are fully aware of the relevant risk assessment procedures and safe systems of work.	
Electrical Safety	Those employees involved in the installation of, testing or maintenance of electrical equipment or systems must be certificated as competent to undertake the work, this must include an appreciation of the limits to the work they are authorised to undertake.	
Fire, Bombs and Explosions	Staff expected to undertake any actions in response to a fire, bomb or explosion etc must be competent to undertake the role they have been nominated for. This could include, a simply evacuating a building, helping to evacuate others, fire warden duties or acting as a first responder to an emergency situation.	
LPG	Employees expected to maintain and inspect LPG systems need to be fully aware of the limitations of the system and the situations that would render the system unsafe and requiring maintenance.	
Dust, fumes, gases and vapours	Where work is taking place involving atmospheric concentrations of dust, fumes, gases or vapours, employees will need to be aware of the health risks associated with them and the safe systems of work being used to control the risk. If respiratory protective equipment is being used then there is also a need to ensure face fit testing takes place for every employee.	
Carcinogens	Specific training must be given to those employees expected to work with materials and substances recognised as carcinogens.	

Category A: Fully competent in area.

Category B: Can demonstrate competence in most elements associated with area.

Category C: Can demonstrate competence in some elements associated with area.

Category D: Unable to offer any evidence of competence in area.

N/A: topic not relevant to work activity at this time

## Training Matrix

The following matrix can be used to identify the expected health and safety training for job families. The list is not an exhaustive list as final information, instruction and training requirements are determined through the risk assessment process.

Priorities for management training can be determined via the "decision tree" diagram contained within appendix 5.

**Required** ■ **Determined by Risk Assessment** ■

<b>Course</b>	<b>Job Family</b>	Clerical Assistants/ Clerks, Skillseekers & Modern Apprentices (M.A's)(Admin)	Employees, Skillseekers and MA's with large manual element to job to including working outside	Senior Clerical, Administrative Officers. Professional Officers	Charge hand/ Supervisors of occupational with strong manual/ external working elements	Team Leaders, 3 <sup>rd</sup> & 4 <sup>th</sup> Tier Managers. Managers acting as Heads of Establishment	Directors & Elected Members
General Risk Assessment		■	■	■	■	■	
DSE Assessor		■	■	■	■		
Manual Handling Assessor				■	■		
COSHH Assessor				■	■		
PPE Assessor					■		
Manual Handling Awareness		■	■	■	■	■	■
Personal Safety Awareness		■	■	■	■	■	■
Confined Spaces Awareness			■	■	■		
DSE Awareness *		■	■	■	■	■	■
Asbestos Awareness		■	■				
Mental Health Awareness		■	■				
Induction Local *		■	■	■	■	■	■
Induction Generic *		■	■	■	■	■	■
Fire Safety		■	■				
Accident Investigation for Managers				■	■	■	
Asbestos Awareness for Mangers *				■	■	■	
Mental Health Awareness for Managers *				■	■	■	■
Safety for Managers				##	##	##	
Safety for Directors							■
H&S Update module for managers				@@	@@	@@	@@
Management of Hazards Course *				■	■	■	
Specialist training		■	■	■	■	■	■

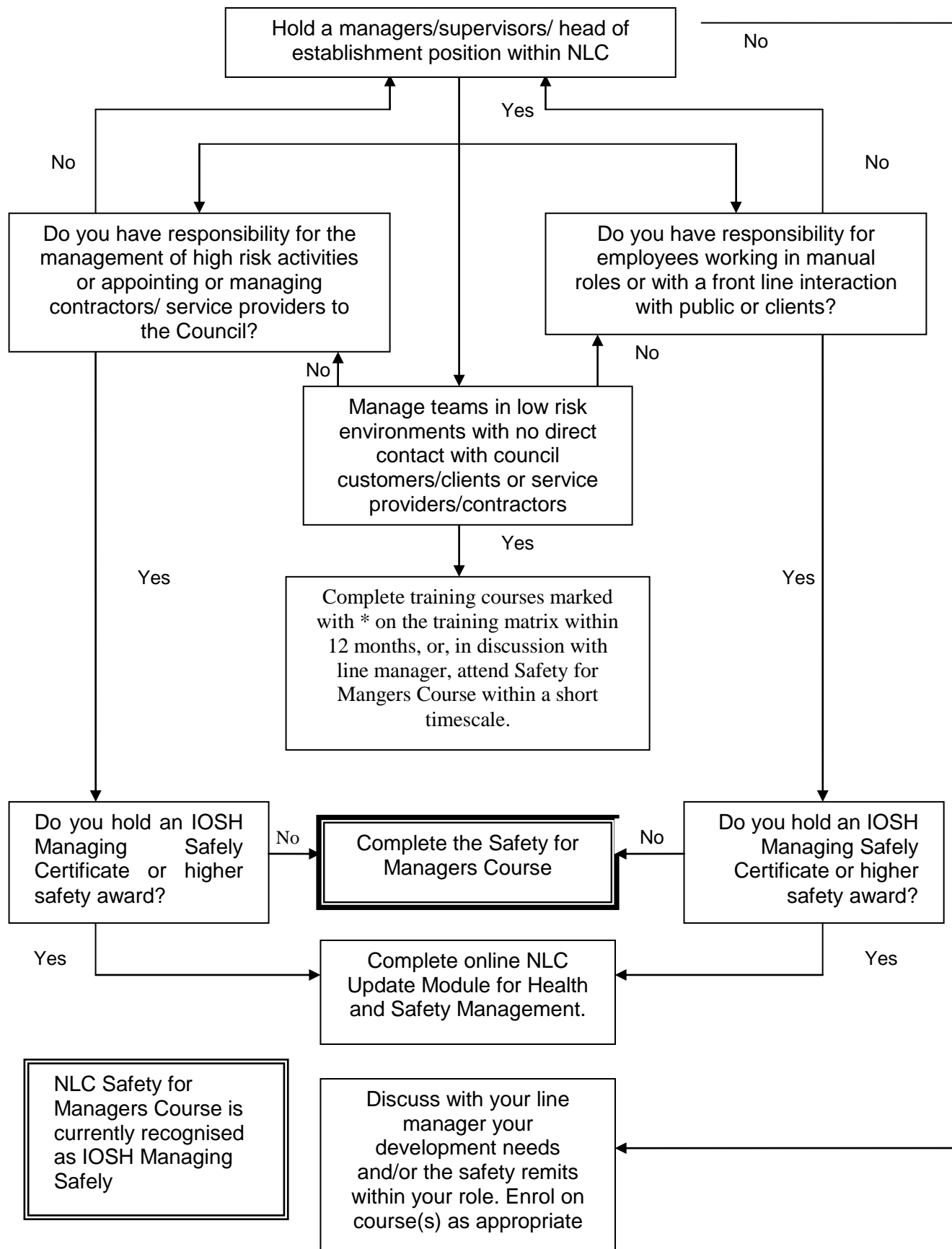
## See decision tree for more detail on attendance on such a course.

@@ Safety for Managers or Directors Training should be updated approximately every 3 years

Early completion of the Safety for Managers Course negates the need to participate in General Risk Assessment, Accident Investigation Course and the Hazards Awareness Course.



### Safety for Managers Training - Decision Tree



For more information and assistance with definitions etc, please consult the health and Safety Website on Connect, found within the "Employee Information" section

## **An Introduction to Health and Safety Training.**

Employers are required under the Health and Safety at Work etc Act 1974 to provide "such information, instruction, training and supervision as is necessary to ensure the health and safety at work of his employees". In addition to this there are a number of other statutory requirements for training. This information sheet will examine some of the issues associated with the provision of the required training etc.

### **What other legislation covers training?**

Some of the legal requirements for training are included in:

- The Management of Health and Safety at Work Regulations 1999
- The Provision and Use of Work Equipment Regulations 1992
- The Personal Protective Equipment Regulations 1992
- The Display Screen Equipment Regulations 1992

### **Who needs to be given information, instruction and training?**

There are many different groups of people who require information within the working environment, this includes:

- Your own team members ( with respect to their own activities);
- Other people's employees or self employed (with respect to the hazards they may be exposed to while on our premises);
- Temporary staff ( who will be unfamiliar with our premises and activities);
- Visitors or members of the public (who need to be warned about hazardous activities or areas).

When deciding who requires more formal training we also need to think about the needs of our managers and supervisors to ensure they get the correct level of training themselves that will allow them to effectively manage various aspects of health and safety. One of these aspects would be to ensure that they look at the needs of all their team members, not forgetting new recruits, part time workers, young workers and shift workers.

### **When do employees need the information, instruction and training?**

New employees are known to be more likely to have accidents than those who have had time to recognise the hazards of the workplace. Therefore it is important that new employees should be given training before they start work, usually as part of induction training. In addition to this, there is an expectation that all employees will be included in a programme of regular refresher training on all aspects of health and safety linked to their work activities.

### **Types of Training**

It is important to identify what training is required and what the objectives are to be achieved. Giving people the wrong training or too much is a waste of time and money. Here is a list of key training areas;

- The Council's health and safety policy and procedures.
- Specific health and safety risks which are present at the work base or worksite
- Precautions which must be taken to prevent risks from arising
- Emergency and evacuation procedures
- Individual responsibilities with respect to health and safety and site rules
- How to use equipment/machinery and personal protective equipment
- Accident reporting procedure

- First aid procedure
- All employees need to be made aware of new or changing issues, for example, when a new piece of equipment is introduced.

### **What about the training of young people?**

Young and inexperienced employees, especially those straight from school or college, who have not been in a work situation, previously are particularly at risk from injury. There will need to be special consideration given to their induction and safety training programme along with the level of supervision they will need.

### **Refresher training**

Refresher training for existing employees is important to reinforce good practices. This is of particular value if employees do not carry out a particular task or use a particular piece of equipment on a regular basis or where staff have become complacent or have picked up bad habits.

### **Effective training.**

One of the most important steps in providing training is to evaluate whether the training given has been effective. Training can be evaluated by gaining feedback from the candidates, for example, asking if they have understood what they have been told, or observing employees to see if they are putting into practice what they have learnt and by looking at your safety record. If you are asked to provide feedback on courses you have attended then you are encouraged to provide honest feedback that will help the training experience develop.

### **Training within North Lanarkshire Council**

Every employee will have some form of recorded local induction training. This is likely to include topics such as fire evacuation, local first aid arrangements and use of work equipment. Other programmed training will then be required to include job related safety training. This might include manual handling training, DSE training, evacuation chair training, use of chain saws or first aid.

Training opportunities are accessible via the Training and Guidance section of Connect or by contacting your Service training team.

**Impact Assessments**

**Document Title:** Health and Safety Policy - Arrangement Section 15  
Information, Instruction, Training and  
Supervision

**Date:** 01 April 2017

**Review Date:** As circumstances dictate

**Environmental Impact Assessment:** This document has been assessed for significant environmental impact; no detrimental impact has been identified

**Equality Impact Assessment:** This document has been assessed for significant equality implications; no significant issues have been identified.

**General Comments:** This document is the arrangement section, relating to the provision of information, instruction, training and supervision in association with the Council's health and safety policy as required by the Health and Safety at Work Act 1974. The general aim of the council is to ensure a healthy and safe working environment for all persons working for or make use of Council Services. Nothing in the document serves to have any negative impact on the above issues and indeed, in general, associated documents will encourage positive consideration of the factors to ensure all members of the workforce and community are afforded access to the same safe and healthy workplace