

Ofqual Ref

Level

601/2997/9

Award at Level 3

Top Person for High Risk Confined Spaces

Issue 3 - November 2017

ABOUT THE QUALIFICATION SPECIFICATION

This qualification specification for CABWI Awarding Body's **Level 3 Award in Top Person for High Risk Confined Spaces (Ofqual Ref: 601/2997/9)** is designed to provide assessment centres with information on the qualification's content, structure and delivery.

This document provides both general assessment guidance and more detailed information, including general requirements for the qualification and specific requirements for each unit, where applicable. It also includes sections relating to personnel and facilities approval. If you or your centre has any queries relating to the qualification or its delivery, please contact either your allocated external quality assurer (EQA) or the CABWI office (Tel: 020 7469 2641; E-mail: enquiries@cabwi.co.uk).

This guidance (and updated versions issued during the qualification's lifetime) will be produced electronically and can be accessed via the CABWI website (www.cabwi.co.uk) or by contacting the CABWI office (enquiries@cabwi.co.uk). Additional materials available for this qualification include recording documents for practical assessments, and question papers and answer keys for the knowledge assessments. Copies of the national occupational standards (NOS) in on which this qualification is based can also be provided on request.

Further information relating to the delivery of CABWI qualifications, including copies of CABWI's current forms and centre administration manual, may be obtained direct from the CABWI office by contacting:

The Systems & Process Co-ordinator
CABWI Awarding Body
Holland House
1-4 Bury Street
London
EC3A 5AW

Tel: 020 7469 2641

E-mail: enquiries@cabwi.co.uk

Website: <http://www.cabwi.co.uk>

Copyright information

This centre guidance and related assessment material is protected by copyright and any unauthorised production, whether in whole or in part, is prohibited. Please contact enquiries@cabwi.co.uk if you wish to use any CABWI copyright material in any type of hard copy or electronic publication.

CABWI approved centres offering this qualification may copy the guidance and related assessment material for the use of its assessment and quality assurance teams and learners in delivering this qualification. Centres may make this material available in .pdf format only on their company intranet sites, but the intranet must be accessible only to its centre staff and learners. Copies of this document that are made available on centres' intranet sites must be the current and up-to-date edition.

Copies of the document may not be sold, altered or misused. CABWI reserves the right to withdraw permission to copy in the event that this condition is not met.

CONTENTS

	Page
1. Qualification Overview	3
1.1 Qualification objective	3
1.2 Qualification structure	3
1.3 Total Qualification Time, Guided Learning Hours and Credit	3
1.4 Relationship to NOS and the suite of confined spaces qualifications	4
2. Qualification approval requirements	5
2.1 Centre facilities and equipment requirements	5
2.2 Personnel resources for qualification delivery	11
2.3 Independent assessment	18
3. Qualification delivery	20
3.1 Pre-registration learner requirements	20
3.2 Assessment methodology	20
3.3 Internal quality assurance	22
3.4 External quality assurance and post-approval monitoring	23
4. CABWI Level 3 Award in Top Person for High Risk Confined Spaces: Unit information	26
CSHTP03 Top person for high risk confined spaces	26

1. QUALIFICATION OVERVIEW

1.1 Qualification objective

The CABWI Level 3 Award in Top Person for High Risk Confined Spaces allows learners to demonstrate the skills and knowledge required by those who need to act as a top person for a high risk confined entry operation as part of their job role.

The qualification is designed specifically for those who are undertaking a top person role, and achievement of this Level 3 Award does not prove that a learner is competent to enter and/or work in a confined space.

The content, structure and assessment requirements of the qualification were developed by CABWI Awarding Body, in consultation with representatives of the water and utilities industries and their training and assessment providers.

This award sits in the Regulated Qualifications Framework (RQF) and is regulated by Ofqual.

If the assessment team identifies any queries or issues with the content of the qualification units or the structure, the centre should contact its external quality assurer or the CABWI office in the first instance. The awarding body can then provide advice on the most suitable course of action and consult further with qualification users, employers and/or training providers as necessary.

1.2 Qualification structure

To achieve a full Level 3 Award in Top Person for High Risk Confined Spaces, a learner must complete a single unit: Top person for high risk confined spaces.

The unit is assessed using a written knowledge assessment and a practical skills test, conducted in controlled circumstances.

1.3 Total Qualification Time, Guided Learning Hours and Credit

To meet regulatory requirements, all RQF qualifications must be assigned a number of Guided Learning Hours (GLH) and a number of hours for Total Qualification Time (TQT). These figures are assigned to the qualification during the development process, through consultation with industry specialists and training and assessment providers.

Guided Learning Hours is an estimate of the number of hours a learner would be expected to spend working towards a qualification, under the immediate guidance or supervision of a provider of education or training (e.g. a tutor, lecturer, supervisor, etc.).

Total Qualification Time is an estimate of the total amount of time (in hours) that a learner could reasonably be expected to achieve the level of attainment required for the award of a qualification. The TQT for any qualification is calculated by adding the number of hours assigned for Guided Learning to the estimated number of hours that a learner could reasonably be expected to spend in preparation, study or any other education or training activity, including

assessment, that may be directed by, but not under the immediate supervision of a tutor, lecturer, supervisor, etc.

Please note: The GLH and TQT figures assigned by CABWI to its qualifications are notional, and it is not mandatory for centres to provide a specific number of GLH in delivery a qualification. Learners and their employers should be aware that different individuals may take different amounts of time to complete their assessment successfully.

The Qualification GLH is: 20

The Total Qualification time is: 20

The Credit Value of the qualification is: 2

1.4 Relationship to NOS and/or apprenticeship frameworks

This qualification is based on the NOS unit, Overseeing work in confined spaces, which was developed by Energy & Utility Skills. The NOS unit is part of a suite of units covering working in low, medium and high risk confined spaces, acting as a top person for high risk confined space entries and emergency rescue and recovery of casualties from confined spaces. CABWI offers a suite of six confined spaces qualifications, covering each of these areas. There are two qualifications for working in high risk confined spaces: one provides for those who are working in the confined space, and the other provides for learners who act as top man for a team working in a medium risk confined space.

In the context of these qualifications, learners are not required to take each of the qualifications covering working in low, medium and high risk confined spaces in order to be deemed competent in each. Those who hold the Award in Working in High Risk Confined Spaces are deemed also to hold the competence for working in high risk confined spaces. Those who hold the Award in Working in High Risk Confined Spaces are deemed to hold the competencies for working in both medium risk and low risk confined spaces.

For those working in the water sector, the confined spaces qualifications must be re-assessed in full every three years, in order to demonstrate continuing and current competence.

2. QUALIFICATION APPROVAL REQUIREMENTS

All centres seeking to deliver CABWI regulated qualifications must complete the application process using CABWI's current centre and personnel application forms, providing information about how the centre will meet CABWI's centre recognition criteria. Information relating to CABWI's centre recognition process is available on the CABWI website.

A centre seeking to deliver the CABWI Level 3 Award in Top Person for High Risk Confined Spaces must also ensure that it has the resources, including facilities and personnel, to meet the qualification-specific requirements described in this section.

2.1 Centre facilities and equipment requirements

High risk confined space environment

The Level 3 Award in Top Person for High Risk Confined Spaces requires the learner to act as a top person for a working team that is carrying out an operation in a high risk confined space. The top person role at this level requires the learner to interpret the requirements of the work operation, co-ordinate and supervise the working time, during the planned operation and in a simulated emergency situation. The learner may be responsible for committing a work team in potentially non-routine situations, and they will therefore be acting autonomously and at a higher level than a traditional 'top man' role.

While the learner will not enter the confined space as part of this qualification, the practical assessment must be conducted using a high risk confined space environment. The features of a high risk confined space environment are as follows:

- The confined space will have a specified hazard that cannot be controlled or eliminated. There may or may not be access issues, and the learner is expecting to carry out their work activity in the presence of the specified risk.
- An exit from the confined space is triggered when prearranged safety margins are breached.
- As this is a high risk environment, the learner must enter the confined space with appropriate respiratory protective equipment (RPE) and must wear the RPE throughout the operation.
- The confined space should be deeper than 3 metres in one or two ladders, but requiring fall arrest.
- The confined space must be dark, but any real hazard due to the access arrangements must be clearly visible when using portable lighting.
- The learners must be able to move a reasonable distance away from the access point (c. 30 metres), to give a working team of five the opportunity to become spread out in the confined space.
- The learners must consider that entry to this confined space using full working RPE is necessary. This should be emphasised by permanently alarming detectors in the confined space, or by there being a permanent odour present that could indicate that toxic gas is present. Through simulated activity, the learners should feel as though they

are working in a real hazardous atmosphere, but the centre must not use a real hazardous atmosphere when assessing learners for this qualification.

- The learners must be given a specific task to complete during the assessment, which distracts them from Health and Safety matters but which does not expose them to danger.

To ensure a standard approach to the assessment process, the high risk confined space used for the practical assessment must take place in a confined space that would be categorised as NC4 in the Water UK Occasional Guidance Note, *The Classification and Management of Confined Space Entries*.

Confined space category NC4 is a confined space with *'non-standard entries involving complex operations which introduce additional risks and require specific controls and rescue arrangements, e.g. mechanical hazards, physical complexity of system introduced hazards, enhanced specific intrinsic hazards.'*

Facilities and equipment requirements

All centres wishing to offer the Level 3 Award in Top Person for High Risk Confined Spaces must provide the facilities and equipment listed below in order to be recognised to deliver the qualification.

Requirements for all centres

1. Adequate storage facilities for all equipment used in the practical assessment
2. Inspection and maintenance staff (able to cover PPE and Work Equipment)
3. Facilities for storing 'quarantined' equipment that cannot be used for assessment activity or confined space work
4. Changing facilities and secure storage for learners' personal belongings
5. Assessment briefing room(s) for up to 10 learners
6. Showers and toilets for both sexes, near to the assessment location
7. The assessment briefing room(s), changing and bathroom/shower facilities will need to be within 30 minutes of the confined space facilities where any assessment will be undertaken
8. The space used for any practical confined space assessment must meet the requirements specific to the qualification, and must allow the learner to experience working in an authentic confined space environment, working with the relevant people and using the required equipment for the task being assessed.
9. The simulated confined space used for this qualification must meet the requirements for a high risk confined space, and the centre must ensure that a risk assessment has been carried out on the facility, to provide for the needs of learners being assessed and, in particular, the needs of those learners who have limited experience in working in confined spaces.
10. The confined space used to assess this qualification must provide suitable access openings, which reflect history and current usage. The confined space must be used in line with the requirements of the qualification, which will allow the learner to carry out lifting, signing and guarding, entry and exit routines, and emergency exit.
11. The internal profile of the confined space must reflect the high risk classification and allow the learner to carry out the range of skills required during the practical assessment.

Requirements for all confined spaces practical assessments

1. Practical assessments must be conducted in as realistic an environment as possible, and must be carried out with due regard to the learners' health, safety and welfare. Documented risk assessments must be available at the centre for all aspects of the practical assessments, and these must be reviewed regularly and updated as necessary.
2. PPE and any safety items required for the practical assessment must be available for all learners undertaking the assessment. The equipment used must meet current best practice and/or standards and safety requirements referenced in relevant statutes, regulations or approved codes of practice.
3. The assessment centre may supply any or all of the equipment required by learners undertaking the practical assessments.
4. The centre must make learners aware in advance of the assessment if they are required to bring items with them to their assessment. All items and equipment provided by learners or their employers must be checked prior to assessment to ensure that they are fit for purpose and safe to use.
5. Where learners present themselves for assessment with equipment that does not meet the required standards, the centre must ensure that the correct equipment is used for the assessment. The centre may reserve the right to refuse to allow the learner to use equipment that does not meet the required standard.
6. Where items of PPE are issued to successive learners, the centre must have a hygiene routine in place to ensure that equipment fit for purpose and safe to use for each learner who uses it.
7. Where the centre provides PPE for use in confined space assessments, this should consist of:
 - (a) **Overalls** – cotton or cotton mix (non-static generating) overalls with close fitting cuffs, or disposable overalls that meet the requirements of the risk assessment for the activity being undertaken. The centre should have a number of overalls available, to meet the range of learners' sizes. If wet conditions will be encountered during assessment, the overalls should be waterproof.
 - (b) **Gloves and gauntlets** – a suitable selection and number of industrial gloves or gauntlets in rubber, PVC etc, to the relevant EN standard. (Disposable latex or polyethylene inner gloves may also be used if required for those wearing PVC or rubber outer gloves.)
 - (c) **Helmets and caps** – sufficient safety helmets and caps to meet the requirements of the risk assessment. If cap lamps are required, the helmets or caps used must be suitable for use with lamps. (*Please note:* Learners must not be permitted to wear their own helmet if it is in any way unsuitable for use during the assessment process. This may be due to age, misuse, or decoration.)
 - (d) **Footwear** – a suitable selection and number of waders or Wellington rubber boots with safety soles, safety toecaps and non-sparking profiled soles.
8. The centre must have sufficient stocks of the following work equipment for use on assessments:
 - (a) **Warning barriers and warning signs** – these must meet the risk assessment required under NRSWA legislation, and must be sufficient to protect those on or around the site from risks involved in the assessment exercise.
 - (b) **Mesh guards for manholes** – metal or plastic mesh inserts to prevent tools and debris falling into an open manhole.
 - (c) **Portable gas monitoring equipment** – a selection and number of monitors for the learners to use, that reflect the gas monitoring equipment currently used in

confined spaces work, all with complete and current calibration certificates. The monitors should be at least three-channel monitors (monitoring high and low oxygen levels; flammable gas based on Methane LEL, and Hydrogen Sulphide, in line with the risk assessment). Where monitors used are four- or five-channel, the additional channel should monitor carbon monoxide and/or chlorine, or have a different sensor appropriate to the learner's usual business and usage. All monitors must comply with current legislation and standards for electrical equipment used in potentially explosive atmospheres.

- (d) **Hand lamps, torches and cap lamps** – the selection available should be in line with the business and learner usage. All lamps and torches must comply with current legislation and standards for equipment used in potentially explosive atmospheres, and be certificated where required. The centre must also hold spare bulbs, batteries and charging units.
- (e) **Equipment Register** – the centre must maintain a documented history of the equipment that is used in assessments. The information held must cover: all safety certificates; initial testing, re-testing and re-calibration; maintenance carried out on equipment, and any failure of equipment and related repairs. The centre must maintain a diary of testing and calibration for equipment used, and, where testing and calibration information is not available, the equipment must be quarantined so that it is not used during assessments. Where new equipment is purchased for use in assessments, its details must also be added to the register.
- (f) **First Aid support** – the centre must have a selection and sufficient numbers of static and portable first aid kits to meet the emergency needs of all staff and learners involved in confined space assessments, as required by the Code of Practice to the First Aid at Work Regulations and to meet the First Aid risk assessment required by law. The team carrying out confined space assessments must have access to a trained first aider.
- (g) **Manhole cover lifting devices** – these may include a selection of long and short handle manual lift keys; long handled lever types on castors; and hydraulic lifters.
- (h) **Ropes** – the centre should have a selection of ropes for use in handling tools, gas monitors and other equipment. Ropes should be of a braided construction, to prevent spinning, and should be of a 6-8mm diameter as a minimum.

Equipment requirements for working in high risk confined spaces

The centre must ensure that the following equipment is available for use in assessments in working in high risk confined spaces:

1. Harness and fall arrest systems, to the required specification:
 - (a) full body harness with safety certification
 - (b) energy absorbers with safety certification
 - (c) fall arrest systems with safety certification

The types selected should reflect equipment that is commonly used in the workplace, or should reflect the equipment used by learners in their workplace.

2. Man riding safety and rescue winch (a tripod or similarly mounted):
 - (a) a fall arrest block with retrieval system or safety winch incorporating overrun protection and fall protection, with safety certification

- (b) any fall arrest block or winch used should have the capacity needed for the intended shaft or manhole being used during the practical assessment.
 - (c) if a fully suspended descent is to be undertaken, the rescue lifeline must be additional to the man-riding system.
3. Respiratory Protective Equipment (RPE):
- (a) self-contained compressed air positive pressure escape breathing apparatus, of 10 minutes' normal duration. The range used should reflect the types of breathing apparatus used in the industry/sector and/or the learners' workplace, and it should cover facemask type and hood type equipment. The centre will need to have spare cylinders to maintain training exercises.
 - (b) self-contained closed circuit oxygen re-breather (chemical) escape breathing apparatus. Training sets should be purchased (these do not contain oxygen-generating chemicals). The range used should reflect the types of breathing apparatus used in the industry/sector and/or the learners' workplace.
 - (c) supplies of disinfecting and cleaning cloths provided by the breathing apparatus manufacturer, for cleaning facemasks before use.
 - (d) the facility to earth bond ventilation equipment that could cause static electricity to discharge via a spark.
4. Air horns (with disposable compressed air supply):
- (a) portable air horns, powered by disposable compressed air or inert gas, that are used for signalling purposes.
 - (b) other types of signalling devices can be used.
5. Additional gas testing equipment:
- (a) carbon monoxide, measuring in the range specified in the current legislation.
 - (b) where appropriate, additional gas detection equipment representing business and candidate usage, such as chlorine, cyanide, sulphur dioxide and hydrogen sulphide.
6. A selection of chains, identity tags and padlocks, to be used for isolation and locking off. Tags should be numbered, capable of taking multiple padlocks, and no padlock should have more than three dedicated keys.
7. Air movers, ventilation equipment:
- (a) risk assessments could require exhaust ventilation or forced air ventilation as a control measure.
 - (b) The equipment must have a 'safe' power source (i.e. it must comply with electrical equipment standards in potentially explosive atmospheres. If powered by an internal combustion engine, it must be outside the confined space and its own exhaust must lead away to a safe emission point).
 - (c) the facility to earth bond ventilation equipment that may cause static electricity to discharge via a spark.
8. Breathing apparatus, and, where appropriate, additional equipment in line with business and learner workplace usage, to appropriate specifications:

- (a) self-contained compressed air positive pressure demand breathing apparatus of nominal duration 30 minutes to appropriate specification. The range available should suit business and learner usage. The centre must have spare cylinders available to maintain training exercises.
- (b) air-line or trolley set compressed air breathing apparatus complete with spare cylinders, of nominal duration 1 hour, in line with the appropriate specification.

9. Chemical resistant (gas tight) suits. This equipment is optional, but will be required if the learners being assessed work in an environment requiring them. The suits may be self-contained, enclosing the worker and their breathing apparatus, or of a type with a secure umbilicus, with an airline protecting the user's breathing.

10. A tally board for breathing apparatus usage.

Records storage

All qualification records must be stored securely, and centres must maintain records of:

- learners
- assessments and assessment decisions
- internal quality assurance.

The records must be:

- sufficient to provide an audit trail
- retained for at least three years, to allow for monitoring (by the awarding body or the regulatory authorities) to take place.

Some records will include learners' personal information (subject to the Data Protection Act) and others may include details of written or oral underpinning knowledge questions asked during assessment, which must not be freely available to learners. It is vital that these records are held securely by the centre. Secure storage facilities will be verified by the external quality assurer during centre approval.

2.2 Personnel resources for qualification delivery

To be recognised, a centre must have at least one fully-qualified and occupationally competent assessor, and one fully-qualified and occupationally competent internal quality assurer (IQA).

Each assessor, IQA, assessor-candidate or IQA-candidate must submit the appropriate personnel application, together with relevant supporting evidence of qualifications and occupational competence. The qualifications and occupational expertise requirements for assessors and IQAs delivering the Level 3 Award in Top Person for High Risk Confined Spaces are set out below.

Centre co-ordinator / centre manager

The centre must have a named central point of contact for the administration of CABWI qualifications. They will be responsible for ensuring that the correct application forms are submitted to the awarding body and for providing (either in person or via other designated personnel) details of learners who require registration and certification for particular qualifications.

The centre co-ordinator may be one of the assessment and quality assurance team or they may be an administrator or manager with the relevant responsibility at the centre.

Assessors

Assessor qualifications

In order to assess learners for the Level 3 Award in Top Person for High Risk Confined Spaces, an assessor must have relevant occupational expertise, and must hold one of the following qualifications:

- Level 3 Award in Assessing Competence in the Work Environment, or
- Level 3 Certificate in Assessing Vocational Achievement, or
- Assessing Candidates Using a Range of Methods (A1), or
- D32 – Assess Candidate Performance and D33 – Assess Candidate Performance Using Diverse Evidence.

CABWI does not require assessors who hold earlier versions of assessor qualifications to undertake the current versions, based on later national occupational standards. However, assessors must ensure that they are aware of current NOS content relating to assessment practice, and must ensure that they review their skills, knowledge and understanding of assessment processes and practice regularly, and undertake relevant CPD. This activity may be undertaken in conjunction with the assessment centre(s) where the assessor works.

Assessor-candidates

Assessor-candidates are individuals who meet the occupational expertise requirements to assess the qualification, but who do not yet hold an assessor qualification.

They may apply to CABWI for an assessor-candidate licence, for a maximum period of 18 months, while they undertake their assessor qualification. All assessment decisions taken by assessor-candidates must be countersigned by a fully qualified assessor who is also approved to assess the same unit(s).

Assessor-candidates working on the Level 3 Award in Top Person for High Risk Confined Spaces must be undertaking one of the following assessor qualifications:

- Level 3 Award in Assessing Competence in the Work Environment, or
- Level 3 Certificate in Assessing Vocational Achievement.

These are the two current assessor qualifications, developed as part of the Training, Assessment and Quality Assurance (TAQA) suite of qualifications, which cover the assessment of workplace competence.

When seeking approval from CABWI, assessor-candidates may be required to provide confirmation of the assessment centre where they are registered to take their assessor qualification, and when they expect to complete the qualification.

Occupational expertise and assessor requirements

Any assessor or assessor-candidate who wishes to assess the Level 3 Award in Top Person for High Risk Confined Spaces must also show that they can meet the criteria listed in the table below (the column on the right provides examples of evidence against the requirements: please note that these are suggestions, and the lists are not exhaustive).

<i>Assessor criteria</i>	<i>Potential sources of evidence</i>
<ul style="list-style-type: none"> • In-depth technical and practical knowledge of the areas they are assessing (working in confined spaces and the related underpinning knowledge). 	<ul style="list-style-type: none"> • CV confirming occupational experience relating to those unit(s)/award(s) for which approval is required - through an industry operational role and/or delivering operational training and/or assessment in activities covered by the unit(s) required. • Occupational information must confirm experience of confined space activities according to the units required. • Details of any vocational qualifications etc relevant to the activities covered. • Other supporting information: witness testimonies or other testimonials.
<ul style="list-style-type: none"> • Up-to-date knowledge and relevant technical/industrial experience in the areas they are assessing. (The experience must be not more than 5 years old, and at a level relevant to their assessor role and the level of the award.) They must be aware of current practice and emerging issues in working in confined spaces, and that there may be differences between the 4 UK countries. • Occupational experience relating to working in confined spaces that is at least at the same level as the qualification and/or unit(s) that they are assessing. 	
<ul style="list-style-type: none"> • Experience & working knowledge of the assessment and quality assurance 	
	<ul style="list-style-type: none"> • Copy assessor qualification certificates.

<i>Assessor criteria</i>	<i>Potential sources of evidence</i>
<p>processes relating to these contexts.</p>	<ul style="list-style-type: none"> • For assessor-candidates, details of the induction they have received for their assessor award. • For experienced assessors, confirmation of assessor experience on previous confined spaces qualifications or units.
<ul style="list-style-type: none"> • Thorough understanding of the NOS for Working in Confined Spaces, and the ability to interpret them and offer advice on assessment-related matters. 	<ul style="list-style-type: none"> • Confirmation of familiarity with the Working in Confined Spaces NOS. • For experienced assessors, confirmation of assessor experience on previous confined spaces qualifications or units. • Confirmation of involvement in standardisation process, assessment team meetings etc within centre. • If applicable, details of involvement with the NOS or qualification development process for confined spaces.
<ul style="list-style-type: none"> • High level of interpersonal and communication skills. 	<ul style="list-style-type: none"> • CV details confirming use of interpersonal skills etc. • For experienced trainers or assessors, confirmation of previous training or assessment activity. • Details of any qualifications covering communications skills (e.g. Key Skills award in Communication at Level 3; qualifications or units covering soft skills – e.g. units from Management or Customer Service qualifications etc.).
<ul style="list-style-type: none"> • Commitment to CPD for the assessor role and to maintain currency of knowledge and experience in working in confined spaces. 	<ul style="list-style-type: none"> • Assessor licence application – details of how currency will be maintained. • Details (as part of CV or application information) of participation in industry groups, consultations, etc., relating to working in confined spaces. • Details of involvement in centre staff development programmes, as per centre application.

Internal quality assurers (IQAs)

Internal quality assurer qualifications

In order to quality assure the Level 3 Award in Top Person for High Risk Confined Spaces, an IQA must have relevant occupational expertise, and must hold one of the following qualifications:

- Level 4 Award in the Internal Quality Assurance of Assessment Process and Practice, or
- Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice, or
- Conducting Internal Quality Assurance of the Assessment Process (V1), or
- D34 – Co-ordinate the Assessment Process.

CABWI does not require internal quality assurers who hold earlier versions of the IQA qualifications to undertake the current versions, based on later national occupational standards. However, IQAs must ensure that they are aware of current NOS content relating to assessment and quality assurance practice, and must ensure that they review their skills, knowledge and understanding of assessment and quality assurance processes and practice regularly, and undertake relevant CPD. This activity may be undertaken in conjunction with the assessment centre(s) where the IQA works.

CABWI can provide information on the content of current NOS covering assessment and quality assurance practice on request.

IQA-candidates

IQA-candidates are individuals who meet the occupational expertise requirements to internally quality assure the qualification, but who do not yet hold an IQA qualification.

They may apply to CABWI for an IQA-candidate licence, for a maximum period of 18 months, while they undertake their IQA qualification. All quality assurance decisions taken by IQA-candidates must be countersigned by a fully qualified IQA who is also approved to quality assure the same unit(s).

IQA-candidates working on the Level 3 Award in Top Person for High Risk Confined Spaces must be undertaking one of the following IQA qualifications:

- Level 4 Award in the Internal Quality Assurance of Assessment Process and Practice, or
- Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice.

These are the two current quality assurance qualifications, developed as part of the Training, Assessment and Quality Assurance (TAQA) suite of qualifications.¹

¹ The required qualifications for IQAs may be updated during the lifetime of this qualification. CABWI can provide confirmation of the current requirements on request.

When seeking approval from CABWI, IQA-candidates may be required to provide confirmation of the assessment centre where they are registered to take their IQA qualification, and when they expect to complete the qualification.

Occupational expertise and IQA requirements

Any IQA or IQA-candidate who wishes to quality assure the Level 3 Award in Top Person for High Risk Confined Spaces must also show that they can meet the criteria listed in the table below (the column on the right provides examples of evidence against the requirements: please note that these are suggestions, and the lists are not exhaustive).

<i>Internal quality assurer criteria</i>	<i>Potential sources of evidence</i>
<ul style="list-style-type: none"> • Comprehensive understanding of the areas they are internally quality assuring. • Up-to-date knowledge and relevant technical/industrial experience in the areas they are quality assuring. (The experience must be not more than 5 years old, and at a level relevant to their IQA role and the level of the award.) They must be aware of current practice and emerging issues in working in confined spaces, and that there may be differences between the 4 UK countries. • Occupational confined space knowledge and experience that is at least at the same level as the qualification and/or unit(s) that they are quality assuring. 	<ul style="list-style-type: none"> • CV confirming occupational experience relating to those unit(s)/award(s) for which approval is required - through an industry operational role and/or delivering operational training, assessment or quality assurance in activities covered by the unit(s) required. • Details of any vocational qualifications etc relevant to the activities covered. • Other supporting information: witness testimonies or other testimonials.
<ul style="list-style-type: none"> • Experience & working knowledge of the assessment and quality assurance processes relating to these contexts. <i>(Please note: it is desirable, though not mandatory, for IQAs working on this qualification to hold an assessor qualification.)</i> 	<ul style="list-style-type: none"> • Copy IQA qualification certificates. • Copy assessor certificates, if qualified assessors. • For IQA-candidates, details of the induction they have received for their IQA award. • For experienced IQAs, confirmation of internal quality assurance experience on previous confined spaces qualifications or units.

<i>Internal quality assurer criteria</i>	<i>Potential sources of evidence</i>
<ul style="list-style-type: none"> • Thorough understanding of the NOS for Working in Confined Spaces, and the ability to interpret them and offer advice on assessment-related matters. 	<ul style="list-style-type: none"> • Confirmation of familiarity with the Working in Confined Spaces NOS. • For experienced IQAs, confirmation of experience on previous confined spaces qualifications or units. • Confirmation of involvement in standardisation process, assessment team meetings etc within centre. • If applicable, details of involvement with the NOS or qualification development process for confined spaces.
<ul style="list-style-type: none"> • High level of interpersonal and communication skills. 	<ul style="list-style-type: none"> • CV details confirming use of interpersonal skills etc. • For experienced trainers, assessors or IQAs, confirmation of previous training, assessment or IQA activity. • Details of any qualifications covering communications skills (e.g. Key Skills award in Communication at Level 3; qualifications or units covering soft skills – e.g. units from Management or Customer Service qualifications etc.).
<ul style="list-style-type: none"> • Commitment to CPD for the IQA role and to maintain currency of knowledge and experience in working in confined spaces. 	<ul style="list-style-type: none"> • IQA licence application – details of how currency will be maintained. • Details of involvement in centre staff development programmes, as per centre application.
<ul style="list-style-type: none"> • Sufficient authority to carry out the IQA role at any centre where they are working – irrespective of whether they are a direct or contracted employee of the assessment centre. 	<ul style="list-style-type: none"> • Endorsement of the CABWI IQA application by a manager at the assessment centre where they are working. • Organisation and/or team charts showing roles, responsibilities and authority of assessment and quality assurance team members. • For experienced IQAs, evidence of managing assessors within the team, dissemination and completion of agreed actions, etc. • Evidence of involvement in and contribution to centre standardisation activity and meetings.

Technical and occupational experience

In addition to meeting the requirements outlined above, assessors and IQAs must also be able to show that they have the following technical and occupational experience, relating specifically to confined spaces:

1. They must show at least two years' experience from the previous five years of working in confined spaces in sectors such as utilities, oil and gas, mining, civil engineering, construction, etc. This experience may be obtained by working in confined spaces while employed in a job role, or in delivering vocational training and/or assessment involving practical confined space activity.
2. They must have a working knowledge of:
 - (a) current confined spaces regulations and any other confined spaces guidance and specifications that apply to the industry in which learners are being assessed. For the water industry, this includes the Water UK Occasional Guidance Note – *The Classification and Management of Confined Space Entries*.
 - (b) the situation that produces a confined space, including how confined spaces may be created during work activity
 - (c) the nature and implications of hazards encountered in confined spaces
 - (d) the range and function of gas monitoring equipment used in confined space work
 - (e) the selection and use of PPE commonly used in confined space work
 - (f) the range and function of any breathing apparatus required for work in the different classifications of confined space
 - (g) the operation of safe systems of work, and permit to work schemes relating to confined space operations.
3. They must be able to prepare the work site for the practical assessment, provide briefing to learners before assessments and instruct learners effectively during the assessment activity, and be able to discriminate between safe and unsafe learner performance in the assessment situation.

Assessors and IQAs working on this high risk confined space qualification are not required to hold a first aid certificate; however, as work in confined spaces is a health and safety critical activity, the assessment team must have access to a person holding a current first aid certificate while the assessment is in progress. (The Water UK OGN provides guidance on the first aid certificate requirements that must be used by centres offering assessment to learners working in the water industry, and provides useful guidance for those working in other sectors.)

2.3 Independent assessment

Independent assessment is a quality control measure that is used to minimise any potential vested interest that an assessor could have in the outcome of a learner's assessments.

Centres seeking approval to deliver the Level 3 Award in Top Person for High Risk Confined Spaces must ensure that:

- **assessors do not assess any learner for whom they have line management responsibility, and**
- **assessors do not assess any learner for any unit on which they have been involved in training that learner.**

In cases where the centre's assessment team cannot meet the above criteria, an alternative method of independent assessment will be agreed with the centre.

CABWI's assessor application form includes two questions that ask if they will be training learners and if they will be assessing people who report directly to them. If the assessor answers 'YES' to the training-related question, CABWI will contact the centre co-ordinator to obtain further information, as follows:

If training learners:

- *To what extent will the assessor be training learners?*
- *Are they the only assessor, or does the centre have other assessors?*
- *Which units will the assessor be assessing?*
- *When did the applicant train the learners and when will they be assessing them?*

On receipt of this information, CABWI will agree an alternative quality assurance procedure with the centre and their EQA, which will be added to the centre's file. Each case is judged on an individual basis, depending upon the detail provided, whether there are other significant risk factors at the centre that could affect the integrity of delivery, and whether there is any scope for the centre to work towards meeting the independent assessment requirements in the future.

Where the centre is unable to meet independent assessment requirements, the awarding organisation can agree up to 100% external quality assurance of this qualification as an alternative requirement.

Other requirements, as discussed and agreed with the external quality assurer, could include (but are not limited to) additional IQA sampling, requiring additional EQA visits to monitor the situation, or requiring the centre to arrange for the separation of training and assessment wherever possible (e.g. through having dedicated assessors and trainers, resources permitting.)

CABWI's EQAs will monitor the implementation of independent assessment during quality assurance visits, and will highlight any areas for improvement through the action planning section of their EQA Visit Report, by agreement with the centre.

Please note: It is vital that the centre informs CABWI if it cannot meet the independent assessment requirement for this qualification, or if it becomes unable to meet these requirements after approval. If the requirements are found not to have been met during EQA monitoring, and

the centre has not agreed an alternative quality assurance procedure with CABWI, this could impact upon learner certification, and may lead to a requirement for re-assessment of the learners affected or other remedial action.

3. QUALIFICATION DELIVERY

3.1 Pre-registration learner requirements

This qualification may be taken by any learner aged 16 or over, although it is recognised that employers may have different age requirements for their employees who work in confined spaces. As the qualification involves practical assessment in a confined space environment, centres must ensure that any learner undertaking the qualification is medically fit, in line with current industry requirements. For the water industry, these requirements can be found in the Water UK Occasional Guidance Note (OGN) – *The Classification and Management of Confined Space Entries*.

3.2 Assessment methodology

The Level 3 Award in Top Person for High Risk Confined Spaces is assessed using a practical observation of skills and a short answer written test, both of which they must pass in order to gain the qualification. CABWI provides the recording documents for the practical observation and assessment papers and answer keys for the written test, to support recognised centres delivering the qualification. All assessment material has been developed against the qualification assessment requirements.

Written assessment

The written assessment may be conducted using Paper A or Paper B, which CABWI provides only to centres recognised to deliver the qualification. Learners undertaking the qualification will complete either Paper A or Paper B, although the alternative paper must be used for resits. If a learner does not pass the written assessment at their first attempt, the assessor may allow the learner to sit the other paper at the same assessment event. If a learner sits both papers during the same assessment event, and does not pass either of them, they will be deemed not to have met the qualification requirements.

The written assessment may be completed before or after the practical assessment, and must be conducted in examination conditions. These are contained in CABWI's handbook, *Conducting written assessments in examination conditions*, a copy of which is available via the CABWI website or from the CABWI office.

The written assessment for the Level 3 Award in Top Person for High Risk Confined Spaces has an allocated time limit of 2 hours.

If a learner has an assessment requirement that requires them to be assessed using oral questioning, the assessor for the qualification may use oral questioning, recorded using video or audio equipment. If this adjustment is required, the assessor may conduct the assessment, with one learner at a time, at a secure location away from any other assessment activity, and must record the question and answer session, ensuring that the questions are asked from one of the CABWI question papers for the qualification, and that the learner and assessor validate themselves at the start of the session.

Practical assessment

The practical assessment must take place in a controlled high risk confined space environment that meets the requirements set out in this specification, and centres requiring recognition to deliver this qualification must show that they have the facilities and equipment required to carry out the practical assessment for a high risk confined space operation.

Centres are expected to have all of the required equipment available to carry out the assessment. If a learner presents their own equipment for use during the practical assessment, the assessor is responsible for ensuring that the equipment is safe and fit for purpose. If there is any doubt or concern about the learner's equipment in this situation, the assessor and centre may reserve the right to require the learner to use equipment provided by the centre.

The top person must remain on site throughout the confined space operation, in line with the requirements of the qualification.

Please note: As working in confined spaces is a health and safety critical activity, all practical assessments must take place in a controlled confined space environment. No confined spaces assessments must take place in a 'live' working situation.

The learner:assessor ratio for the practical assessment must be no greater than 5:1. If a risk assessment of the practical exercise determines that more 'control' people are required to meet health and safety requirements, the ratio must reflect the level of risk identified.

3.3 Internal quality assurance

The Award in Top Person for High Risk Confined Spaces must be internally quality assured, by appropriately qualified IQAs, with the requisite occupational expertise, in line with CABWI's centre recognition criteria and the specific qualification requirements. If the centre has experience of delivering competence-based qualifications, through CABWI or another awarding body, it is likely that the current internal quality assurance systems can also be used for this qualification, although the external quality assurer will need to review the systems during centre recognition.

Internal quality assurers are expected to:

- manage the operation of assessment within their centres
- support assessors
- verify assessors' work (including observing assessments taking place), according to the centre's internal quality assurance sampling strategy and specific plans for the quality assurance of this qualification
- ensure that the scheme requirements are applied consistently by the assessment team and across all learners at the centre
- manage the qualification delivery process.

The types of records that EQAs review to verify internal quality assurance activities include (but are not limited to):

- IQA sampling strategy (the document that the IQA would use to determine what s/he will sample over time: this should take a risk-based approach)
- more detailed IQA sampling plans (they will be informed by the IQA sampling strategy, but may be modified over time, and in line with identified risks, familiarity with the scheme, learner numbers etc.)
- evidence of interim and summative sampling of assessments (to cover the full delivery process)
- IQA reports on work sampled, which **must** include a proportion of IQA observation reports, confirming that they have watched assessments (observations and/or meetings, over time) taking place. The IQA records must also include, over time, sampling of the work of all assessors working on the scheme and all units covered at the centre.
- evidence of team meetings and standardisation exercises (while not relating to the IQA role alone, it is usual for the IQA to lead meetings and standardisation exercises, etc.).

It is likely that one of the internal quality assurers at the centre will act as the main point of contact with the EQA and the awarding body for policy issues relating to delivery of this qualification, disseminate the detail of EQA reports, and ensure that actions are implemented.

3.4 External quality assurance

External quality assurers working on the confined spaces qualifications must be able to show technical and occupational experience in the utilities or other related sectors, and must have an awareness of:

- current confined spaces regulations
- Water UK's OGN – *The Classification and Management of Confined Space Entries*, and
- current confined spaces national occupational standards (NOS).

They will also be able to discriminate between safe and unsafe learner performance in an assessment situation.

Once the centre has been approved, the external quality assurer will start to plan and discuss quality assurance and monitoring activity with the team. Typically, a centre will receive at least two external quality assurance visits per year, but CABWI reserves the right to recommend additional visits, depending upon the centre's circumstances. The most common reasons for additional visits include, but are not limited to:

- high learner numbers and activity levels (including where a centre offers a wide variety of CABWI qualifications)
- to monitor completion of action points that must be resolved within specific timescales
- if there is a risk to the centre's qualification delivery or quality assurance systems (e.g. insufficient assessors, a high proportion of newly-qualified assessors or IQAs, etc.)
- to approve the centre to deliver new qualifications.

The team can also request additional visits or EQA activity such as remote sampling of assessment materials, either for a review of learners' evidence and assessment records (usually prior to self-certification – 'direct claims' – status being granted), to add further units or awards on to the existing centre licence, to review completion of agreed actions, or to discuss any aspect of scheme delivery.

The EQA monitors all aspects of assessment and quality assurance activity. This will include observation of assessments taking place, on site or at the centre. Over time, the EQA will seek to monitor the work of all assessors and IQAs at the centre, review the systems against current qualifications requirements and CABWI's centre recognition criteria, and provide feedback on the centre's activities.

An EQA report is produced after each quality assurance visit or activity, and sent to CABWI. The awarding body provides a .pdf version via e-mail on receipt of the report, and sends the original hard copy out subsequently. Over time, CABWI will monitor the centre's progress and completion of actions agreed with the awarding body, with a view to ensuring that delivery and quality assurance systems remain robust.

In order for CABWI to ensure that quality assurance activity is conducted effectively and within appropriate timescales, it is important that centres provide the external quality assurer with as much information as possible about planned activity, and the location of cohorts of learners. This will allow the EQA to schedule quality assurance with the centre that allows relevant monitoring activity to be undertaken at a rate and within timescales that meet, as far as possible, the centre's activity levels and commitments to learners, clients and regulatory or funding bodies. If a centre does not advise the EQA of their forthcoming activity, and quality assurance

activities cannot be planned in advance, there is a risk that EQA activities may be delayed, which can impact upon the timescales for issuing certificates.

External quality assurance activity may take place between visits to centres, either through remote sampling of learners' portfolios or other assessment records, and/or correspondence with centre personnel (e.g. to confirm completion of action points, circulate records of team meetings or standardisation activity, etc.). This type of activity will usually be agreed between the EQA and the centre, and/or the CABWI office.

Centres may wish to use e-portfolios in delivering the Level 3 Award in Top Person for High Risk Confined Spaces. In this instance, the centre's EQA will need access to the e-portfolio system in order to carry out regular monitoring activity.

Details of the fees that CABWI charges in relation to external quality assurance and qualifications activity are available via the CABWI office and to approved centres, via the members' area of the CABWI website.

Certification

The centre may apply for learner certification either on a unit-by-unit basis or when the learner has completed sufficient units for a full qualification. (Please ensure that certificates are claimed within 12 months of the final date of assessment for any unit, to confirm currency of competence.) Certificate claims must show the final date of assessment, assessor and IQA details for each unit, and copies of the current certificate claim documents will be supplied to all centres on approval and made available to approved centres via the CABWI website.

Self-certification ('direct claims') status

Self-certification status may be recommended by the EQA, when s/he is satisfied that the systems and processes for delivering the confined spaces certificate are robust and are operating in accordance with the scheme requirements. Self-certification status can be recommended for full qualifications or individual units, according to the centre's circumstances, and it will be granted only when the EQA has had chance to review the centre's systems in operation.

For new qualifications, this means that the EQA will normally undertake a quality assurance visit or other monitoring activity with the centre before recommending self-certification. Direct claims status is not granted automatically to centres that are already delivering previous utilities network qualifications, although experienced centres may be able to gain self-certification after the first one or two visits (subject to EQA approval). If a centre does not have self-certification status for the qualification or units being claimed, certificate requests are subject to EQA review.

Please be aware that, if a centre without self-certification status submits claims before the EQA has authorised them, the request will be referred to the EQA, which could delay certificate issue.

CABWI makes every effort to ensure that requests are processed as promptly as possible, but in the event that this occurs, further information or quality assurance may be required before the certificates can be issued. CABWI will advise the centre co-ordinator in this event.

Direct claims or self-certification status is kept under review by the awarding body, and can be suspended or withdrawn for a particular qualification, or suite of qualifications, in the event that issues are identified that may cause a risk to the centre's qualifications delivery.

4. CABWI LEVEL 3 AWARD IN TOP PERSON FOR HIGH RISK CONFINED SPACES: UNIT REQUIREMENTS

Top person for high risk confined spaces (H/601/7399)			
Level	3	CABWI Unit Ref	CSTP03
Credit Value	2	Guided learning hours	20

Unit purpose and aim

The aim of this unit is to assess learners acting as the top person for a confined space entry in a high risk environment. The learner will show that they can:

- prepare to act as a top man (safety attendant) for teams working in high risk confined spaces
- oversee the safe entry to and exit from the confined space
- monitor the work team to ensure that procedures are followed
- deal with emergencies.

There is also a behavioural emphasis on the learner undertaking the assessment in an efficient and safe manner.

The learner must demonstrate sufficient knowledge and understanding of high risk confined spaces, and must demonstrate the appropriate practical skills and knowledge, through a mix of practical observation and written assessment.

Learning Outcome 1: Prepare to act as top man for high risk teams working in confined spaces

Assessment criteria – *the learner can:*

- 1.1 interpret the **work plan** and arrange for the necessary **equipment** to be available.
- 1.2 arrange for all required equipment to be available prior to entering the site.
- 1.3 determine work **team** activities.
- 1.4 put together a competent work **team**.
- 1.5 allocate activities to each **team** role.
- 1.6 confirm all **team** members know and understand their roles.
- 1.7 brief the work **team** on the nature of the specific confined space.
- 1.8 carry out a real-time risk assessment before starting work.
- 1.9 organise and maintain a safety zone around the work site.
- 1.10 confirm **communications systems** are set up, tested and are working before the team move away from the entry point.

Learning Outcome 2: Oversee safe entry and exit to high risk confined spaces

Assessment criteria – the learner can:

- 2.1 check **atmospheric conditions** are safe before the work team enters the confined space.
- 2.2 oversee and check the work team enter and exit in line with **procedures**.
- 2.3 make sure procedures regarding the carrying and use if appropriate **respiratory protective equipment (RPE)** are followed.
- 2.4 make sure the work team use the **detection equipment** and **entry equipment** correctly.
- 2.5 **remedy** any incorrect activities with the team member.
- 2.6 oversee recovery of **equipment and tools** from site when work is finished.

Learning Outcome 3: Monitor work of teams to ensure procedures are followed

Assessment criteria – the learner can:

- 3.1 control **access** of people and vehicles around the entry point.
- 3.2 resolve any **problems** connected to the work or team members with the **designated personnel**.
- 3.3 **act immediately** to remedy any unsafe activity, equipment, and environmental conditions.
- 3.4 **monitor** continuously the work team and ensure **compliance** with procedures.
- 3.5 monitor environmental readings regularly and respond to information from monitoring equipment.
- 3.6 **communicate** regularly with the work team at all stages of the work.
- 3.7 initiate **site hygiene procedures**.
- 3.8 close down and make the work area safe when work is finished.
- 3.9 make **reports** and complete all documentation and deposit them with the designated people.

Learning Outcome 4: Prepare for and deal with emergencies

Assessment criteria – the learner can:

- 4.1 confirm the **emergency arrangements, procedures and communications systems** are in place and working properly.
- 4.2 make the emergency arrangements known to all work team, support personnel, and off-site personnel.
- 4.3 get all the rescue equipment on site as specified in **emergency procedures**.
- 4.4 set up exclusion zones to prevent entry by unauthorised people following emergency situations.
- 4.5 arrange for **rescue equipment** to be in place before allowing entry to confined space.
- 4.6 start emergency procedures immediately if a dangerous situation arises.
- 4.7 supervise exit procedures.
- 4.8 maintain **control** over work team members during an emergency.
- 4.9 supervise the use of emergency equipment.
- 4.10 follow and maintain emergency procedures throughout the incident.

Learning Outcome 4: Prepare for and deal with emergencies

- 4.11 **record and report** the emergency incident and its **circumstances**.
- 4.12 arrange for basic **first aid** to be available to recovered surface casualties.
- 4.13 maintain emergency communications.
- 4.14 hand-over to emergency services.
- 4.15 secure and maintain sites for post-rescue investigations.

Learning Outcome 5: Use appropriate behaviour for carrying out top man work in high risk confined spaces

Assessment criteria – the learner can:

- 5.1 demonstrate that they are **vigilant to possible risks and hazards**.

Learning Outcome 6: Use appropriate knowledge for carrying out top person work in high risk confined spaces

Assessment criteria – the learner can:

- 6.1 understand their responsibilities to comply with the main principles of health and safety and environmental legislation and regulations.
- 6.2 know about industrial standards.
- 6.3 have a working knowledge of the approved codes of practice and guidance for working safely in confined spaces.
- 6.4 know about the definition of confined spaces and their nature and characteristics.
- 6.5 know about the definitions of hazardous situations and different types and categories of hazards.
- 6.6 know how emergency situations can arise in a confined space
- 6.7 know about manufacturer's instructions relating to the use of equipment, tools and appropriate RPE.
- 6.8 know about manufacturer's instructions relating to the use of PPE.
- 6.9 know about the legislation and approved codes of practice and guidelines for safe use of appropriate RPE for working and escape purposes.
- 6.10 know about the limitations for using rescue equipment.
- 6.11 know about working as a member of a team.
- 6.12 know about the different roles and responsibilities for dealing with emergencies.
- 6.13 know how to deal with injuries to personnel and the general public.
- 6.14 know how to deal with irregularities and abnormal situations.
- 6.15 know about the different types of categories of emergency situation.

Learning Outcome 7: Apply relevant industry standards for top person work in high risk confined spaces

Assessment criteria – *the learner can:*

- 7.1 map organization classifications into national occupational standards for confined spaces.
- 7.2 understand the hazards, substances and situations associated with contaminated atmospheres.
- 7.3 understand entry procedures for different types and risk levels of confined spaces environments.
- 7.4 understand how to carry out real-time assessment of risks and hazards.
- 7.5 understand how to use work authorisations and permits.
- 7.6 understand procedures and methods of working suitable to the confined space risk level and local conditions.
- 7.7 understand how to minimise the risks and hazards for the work to be carried out.
- 7.8 understand how to use ventilation systems.
- 7.9 understand how to reduce risk and injury.
- 7.10 understand and use local procedures.
- 7.11 understand how to monitor conditions and work activity.
- 7.12 understand decontamination procedures.
- 7.13 understand communication methods which are suitable for the site and its conditions.
- 7.14 understand how to resolve problems speedily and with the designated personnel.
- 7.15 understand how to follow manufacturer's instructions for using equipment.
- 7.16 understand how to prepare and check equipment.
- 7.17 understand how to ensure equipment and tools are fit-for-purpose and how to use them safely.
- 7.18 understand methods and techniques for using and wearing PPE.
- 7.19 understand how to prepare and use appropriate RPE for working and escape purposes.
- 7.20 understand the responsibilities of a rescue team and its individual members.
- 7.21 understand the responsibilities of managing work teams.
- 7.22 understand reporting systems for routine work activities and resolving problems.
- 7.23 understand procedures for dealing with emergencies.
- 7.24 understand rescue and recovery procedures in emergency situations.
- 7.25 understand communications and reporting systems for emergency situations.

Terms and Definitions

Some terms, used in the assessment criteria, cover a range of situations, as follows:

1. **Work plan** - the learner must be provided with a work plan, which can include:
 - (a) risk assessment
 - (b) method statement
 - (c) safe system of work
 - (d) emergency arrangements
 - (e) paperwork associated with successful tenders, specifying the duties/responsibilities/limitations of the contractor(s) involved.

Terms and Definitions

Where possible, the work plan used for the assessment should approximate the learner's working conditions, encountered in their normal job role.

Please note: Due to the level of autonomy and responsibility in this role, the learner must be required to review and complete part of this paperwork, rather than being handed all of the information. The learner must also be given the opportunity to carry out site-specific risk assessments at the start of the operation, and to complete any paperwork associated with this.

2. **Equipment and tools** for a high risk environment includes:
 - (a) portable gas monitor
 - (b) access equipment
 - (c) safety/rescue harness
 - (d) torch
 - (e) portable electric lamp
 - (f) communication devices
 - (g) appropriate working and escape respiratory protective equipment (RPE)
 - (h) lifelines
 - (i) fall arrest equipment
 - (j) first aid equipment (including resuscitation)
 - (k) portable lighting
 - (l) chemical suits (optional, according to the working environment and operation)
 - (m) entry/exit logs
 - (n) portable/fixed ventilation equipment
 - (o) barriers
 - (p) signs.

3. **Team** - the learner must be given the opportunity during the practical assessment to assemble a team, aligning the relevant competencies of the team members with the requirements of the activities as contained within the work plan. The learner will need to co-ordinate the team in an efficient and effective matter, to allocate and confirm individual team roles and to brief the team on the nature of the specified risk.

4. **Communications systems** may include:
 - (a) mobile phone
 - (b) radio
 - (c) air horns
 - (d) chalk
 - (e) whistles
 - (f) associated organisational devised code(s) of signals.

5. **Atmospheric conditions** - the learner must be able to demonstrate during the assessment that they have considered the effects of the following and made the relevant checks before entering the confined space:
 - (a) composition of the atmosphere
 - (b) oxygen deficiency

Terms and Definitions

- (c) flammable gas
 - (d) noxious gas
 - (e) types of monitoring equipment
 - (f) alarm levels.
6. **Procedures** for entering and exiting high risk confined spaces can include:
- (a) safety awareness
 - (b) access equipment
 - (c) risk assessments
 - (d) atmospheric conditions.
7. **Respiratory protective equipment (RPE)** must be used in line with manufacturers' instructions.
8. **Detection equipment** – the learner must be observed demonstrating that they ensure that the team is using detection equipment correctly. They must be using a portable gas monitor as a minimum. There must be no need for the assessor to prompt the learner for this evidence.
9. **Entry equipment** – the learner must be observed ensuring that the team is using entry equipment correctly (including in an emergency situation). This may include:
- (a) warning barriers
 - (b) warning signs
 - (c) metal or mesh inserts
 - (d) long/short handle manual lifting keys
 - (e) long handled lever types on castors
 - (f) fixed ladders
 - (g) hydraulic lifts
 - (h) approved manriding tripod and winch
 - (i) pulley system
 - (j) davit system
 - (k) other relevant systems.
10. **Remedy** – the learner must be given the opportunity during the practical assessment to show that they can remedy incorrect activities.
11. **Problems** – the learner must be given the opportunity during the practical observation to show that they can resolve problems.
12. **Checks** to be carried out on equipment include:
- (a) no damage to equipment
 - (b) calibration dates
 - (c) pre-use checks (including self tests)
 - (d) conforms to manufacturers' instructions
 - (e) inspection/maintenance records.

Terms and Definitions

13. **Designated personnel** can include anyone involved in planning work in, or working in confined spaces, such as:
- (a) those who are competent to undertake confined space risk assessments
 - (b) permit to work issuers and receivers
 - (c) those responsible for completing electrical/mechanical isolations
 - (d) people who are responsible for site inductions
 - (e) workmen and contractors associated with confined space operations
 - (f) hire firms for equipment
 - (g) rescue personnel.
- The learner, in overseeing the confined space operation, will need to know key personnel involved in planning and working in confined spaces and ensure that he or she is able to outline their principal duties. This is so that, in the event of an anomaly between the work on site and safe system of work, the overseer can contact the relevant person to advise them of the situation. For assessment purposes, learners should be provided with reporting procedures, and someone from the centre should be allocated as the next in line, to whom they should report.
14. **Act immediately** – the learner must be given the opportunity during the practical assessment to show that they take the following action to resolve a problem that arises during the operation:
- (a) identify the problem
 - (b) implement suitable control measures where possible
 - (c) report the problem.
15. **Monitor** – the learner’s monitoring of the work team must cover, as a minimum:
- (a) holding personnel accountable for actions or omissions
 - (b) plotting movement of personnel in the confined space against plans/schematic drawings
 - (c) times and locations at which environmental samples must be taken
 - (d) interpreting or reacting to results obtained from samples.
16. **Compliance** must be in line with organisational procedures.
17. **Communicate** – the learner must show that they communicate regularly with the work team throughout the operation. There must be no requirement to prompt the learner for this evidence.
18. **Site hygiene procedures** must be in line with organisational procedures.
19. **Reports and documentation** – the learner must complete the reports and documentation that are relevant to their work activity (in line with organisational requirements) as part of the practical assessment.
20. **Emergencies** – The role of the overseer in an emergency may differ according to the conditions at a particular site. If a specialist emergency rescue team is on site, the overseer

Terms and Definitions

will co-ordinate certain aspects of their activity with the rescue team. The unit of assessment covers the competency of the overseer to implement emergency procedures, which may or may not involve the presence of a dedicated rescue team.

There are two types of emergency arrangements: planned and unplanned assistance. The type of arrangement in place for any operation is determined by the risk assessment. Planned assistance requires the presence of a specialist rescue team and it is assumed that if an emergency occurs, death may occur within minutes to those working in the confined space.

Unplanned assistance is used where 'specified risks' are eliminated or controlled and where an incident would most likely involve injury or illness while working in the confined space. It is also likely that the injured person would be in fresh air at the point of injury. In this case, no team may be present, but the person overseeing the work will need to know how to facilitate the extraction of a casualty from the confined space.

21. **Emergency procedures** include:

- (a) wearing times
- (b) signals
- (c) direction markers
- (d) fencing off
- (e) environmental monitoring
- (f) unstable conditions
- (g) visibility.

22. **Communication systems** may include:

- (a) mobile phone
- (b) radio
- (c) air horns
- (d) whistles
- (e) chalk
- (f) directional/warning signs
- (g) associated organisational devised code(s) of signals
- (h) emergency contact lists.

23. **Emergency arrangements** include:

- (a) preparation
- (b) site arrival
- (c) raising the alarm
- (d) going operational
- (e) aftermath
- (f) emergency contacts.

24. **Rescue equipment** - this qualification encompasses a high level of responsibility and autonomy. Although the overseer may be controlling a simple entry, requiring access equipment and verbal communication, for assessment purposes, the learner must show

Terms and Definitions

that they have arranged and confirmed that the following rescue equipment is in place before the entry into the confined space begins:

- (a) communication devices
- (b) appropriate working and escape respiratory protective equipment (RPE)
- (c) resuscitation equipment
- (d) rescue stretcher
- (e) lifelines
- (f) first aid equipment
- (g) splints
- (h) neck collar
- (i) portable lighting.

25. **Control** – the learner must be seen to be communicating with and instructing team members throughout the emergency. They must also show that they ensure that all procedures, both emergency and organisational, are followed at all times.
26. **Record and report** – the learner must record and report the emergency incident in line with organisational procedures. These can include:
- (a) accident book
 - (b) reporting forms under RIDDOR
 - (c) BA wearer log book
 - (d) rescue equipment service records
 - (e) formal reports in compliance with organisational requirements.
27. The **circumstances** relating to the emergency that the learner records and reports must include:
- (a) date
 - (b) time
 - (c) location
 - (d) events leading up to the emergency
 - (e) personnel involved in or affected by the emergency
 - (f) key instructions and messages received and given
 - (g) action taken
 - (h) arrival time for emergency services and other specialists.
28. **First aid** – the learner should obtain, through early clarification and regular communication, details of whether there are casualties requiring first aid. The learner must be observed acting in response to this, and arranging appropriate first aid provision at the earliest opportunity.
- Some documents relevant to the learner’s job role (e.g. the Water UK Occasional Guidance Note on working in confined spaces) include requirements for there to be first aid provision on site. The overseer should therefore check that first aid provision is available before the work activity begins, and, following the laid down procedure, once an emergency arises.
29. The learner will show that they are **vigilant to possible risks and hazards** by demonstrating the following behaviour during the practical assessment:

Terms and Definitions

- (a) undertaking dynamic risk assessment throughout the exercise to identify risks and hazards
- (b) responding to risks and hazards calmly while implementing appropriate control measures
- (c) dealing promptly with emergencies in a calm and collected manner.
- (d) conducting themselves safely throughout the practical exercise.

Assessment Requirements

The unit will be assessed using a knowledge assessment and a practical exercise, which must be delivered in controlled circumstances.

The knowledge assessment covers the requirements listed in Learning Outcomes 6 and 7, and will be undertaken using a written paper, which must be delivered in examination conditions.