

**Guidance Notes on
Registration as a Safety Auditor Training Scheme Operator
under the Factories and Industrial Undertakings
(Safety Management) Regulation**

1. Background

1.1 The Factories and Industrial Undertakings (Safety Management) Regulation (the Regulation) was approved by the Legislative Council on 24 November 1999. The sections of the Regulation concerning registration as safety auditors and safety auditor training scheme operators (“Scheme Operators”) came into effect on 19 June 2000.

1.2 Under the Regulation, certain workplaces are required to develop, implement and maintain an effective safety management system to administer occupational safety and health. Contractors and proprietors of relevant industrial undertakings are required to appoint a registered safety auditor to conduct regular safety audits on their safety management systems.

1.3 To register as a safety auditor, a person should successfully complete (i.e. fulfill all course requirements) an approved safety auditor training scheme (“Scheme”) conducted by a registered Scheme Operator. The Commissioner for Labour (“the Commissioner”) establishes and maintains a register of all persons who are registered as Scheme Operators.

1.4 The legal requirements to be registered as a Scheme Operator are set out in Schedule 2 of the Regulation. The purpose of this document is to describe in detail the criteria and procedure for registration as a Scheme Operator.

2. Scheme Objective

The objective of the Scheme is to provide trainees with theoretical and practical training as a foundation for them to acquire the competence and skills required for conducting safety audits efficiently and effectively under the Regulation.

3. Learning Outcomes

3.1 Safety Management

Upon completing the Scheme, the trainees should be able to:

- 3.1.1 Describe the legal requirements under the Factories and Industrial Undertakings Ordinance and the Factories and Industrial Undertakings (Safety Management) Regulation on managing safety and health, safety audit and safety review;
- 3.1.2 Describe the concepts of loss control using commonly accepted models, such as those for accident prevention;
- 3.1.3 Describe the principles of safety management;
- 3.1.4 Describe the 14 key process elements of an effective safety management system and the activities associated with each of the elements; and
- 3.1.5 Describe the ways to develop, implement and maintain a successful safety management system.

3.2 Safety Audit

Upon completing the Scheme, the trainees should be able to:

- 3.2.1 Plan and conduct a safety audit to assess the adequacy of a safety management system in any industrial undertaking;
- 3.2.2 Prepare a report to the top management of an organization on the efficiency, effectiveness and reliability of its safety management system and make recommendations for improvement to the system;
- 3.2.3 Appraise a number of commonly used proprietary safety audit systems; and
- 3.2.4 Develop a safety audit system for in-house use.

4. Scheme Contents

(The numbering in this section corresponds to the learning outcomes as stated in section 3)

4.1 Safety Management

4.1.1 Statutory requirements and industry standards

4.1.1.1 The duties under the Regulation of:

- ✓ proprietors or contractors;
- ✓ registered safety auditors; and
- ✓ safety review officers.

4.1.1.2 The statutory framework on safety and health management system, safety audit and review as set out in the Regulation, and the requirements set out under the Code of Practice on Safety Management issued by the Commissioner.

4.1.1.3 Introduction to occupational safety and health management systems or standards. Scheme organizers should select at least two different systems or standards with key elements, which coincide with that of this curriculum, for demonstration purposes. Examples of safety management systems are:

- ✓ total loss control management;
- ✓ BS 8800;
- ✓ OHSAS 18001;
- ✓ BS EN 14001;
- ✓ ILO-OSH 2001;
- ✓ Successful Health and Safety Management, HSE Guidance Notes HS(G)65.

4.1.2 Concepts of loss control such as :

- (i) Total loss control management model

- (ii) Accident causation models (e.g., Heinrich's Domino Model)

4.1.3 Principles of safety management, including:

- (i) The functions of safety management, including:
 - ✓ Development involves planning and developing
 - ✓ Implementation involves organizing and implementing
 - ✓ Maintenance involves measuring and auditing
- (ii) Activities for management control of safety:
 - ✓ Planning – identifying safety and health objectives that include conducting initial/periodic status analysis and risk assessments, and establishing measurable performance standards
 - ✓ Developing – including formulation of safety policy, safety plan(s)
 - ✓ Organizing – prescribing formal relationships among people and resources, and allocation of safety and health responsibilities
 - ✓ Implementing – executing safety plan(s) to control the risks and to meet the statutory requirements
 - ✓ Measuring – checking the performance against agreed standards
 - ✓ Auditing – assessing performance

4.1.4 Key process elements in a safety management system

A typical effective safety management system includes the following elements:

- (i) Safety policy
 - ✓ Features of a good safety policy
 - ✓ Approach to developing a safety policy that is appropriate to an industrial undertaking
 - ✓ Preparation of an effective safety plan to carry out the safety policy

(ii) Organizational structure

- ✓ Approach to establishing a safety organization to carry out management's commitment
- ✓ Roles and responsibilities on safety and health
- ✓ Accountabilities of management and supervisors
- ✓ Functions of safety coordinators and safety representatives

(iii) Safety training

- ✓ Approach to developing safety training programme for staff members in various levels
- ✓ Integrating various training methods, such as safety orientation, on-the-job safety training, toolbox talk and coaching, into human resource development programme
- ✓ Evaluation of effectiveness of training and maintenance of training records

(iv) In-house safety rules

- ✓ Approach to making rules effective as guidelines for employees' behavior
- ✓ Three forms of organizational rules: -
 - ✧ Standards
 - ✧ Rules
 - ✧ Procedures
- ✓ Monitoring of compliance

(v) Inspection programme

- ✓ Advantages of an effective safety inspection system
- ✓ The basic steps in inspecting hazardous conditions
- ✓ Approach to organizing a complete inspection programme

(vi) Hazard control programme, including:

- ✓ Ways to identify hazardous exposure or the risk of such exposure to workers and the personal protective equipment (PPE) need where engineering control methods are not feasible
- ✓ Selection and provision of proper and appropriate PPE
- ✓ Storage, maintenance and hygiene of PPE
- ✓ Training and supervision programme for proper use of PPE

(vii) Accident/incident investigation

- ✓ Meeting the purpose of accident/incident investigation
- ✓ Identifying and analyzing immediate and underlying causes, and the recommendations for prevention of recurrence
- ✓ Proper and complete accident/incident investigation procedures
- ✓ Use of accident/incident information data and management technique

(viii) Emergency preparedness, including:

- ✓ Approach to developing an effective emergency plan
- ✓ Forming emergency teams and training of team members
- ✓ Appointment of competent coordinator to administer the emergency plan
- ✓ Organizing emergency drills and their reviews
- ✓ Other considerations such as provision and maintenance of emergency power, lighting and rescue equipment

(ix) Evaluation, selection and control of sub-contractors, including:

- ✓ Sub-contractor safety and health pre-qualification
- ✓ Contractual safety and health obligations for sub-contractors
- ✓ Interaction and proper coordination among sub-contractors
- ✓ Assessing safety and health performance of sub-contractors
- ✓ Positive/negative reinforcement of sub-contractors' safety and health performance

(x) Safety committees

- ✓ Functions of safety committees (corporate level and workplace/site level safety committees)
- ✓ Forming safety committees
- ✓ Appointment of committee members
- ✓ Key considerations in making safety committee work

(xi) Job-hazard analysis (JHA)

- ✓ Approach to establishing JHA/risk assessment priorities
- ✓ JHA/risk assessment technique
- ✓ Approach to using the information provided by a thorough JHA/risk assessment

(xii) Safety and health awareness

- ✓ Approach to setting specific promotion targets to inculcate safety culture
- ✓ Focusing on critical problems
- ✓ Relating the message to specific accident causes and preventive actions
- ✓ Practising "point of control " promotion
- ✓ Approach to organizing campaigns or theme programmes or other promotion strategies

(xiii) Accident control and hazard elimination, including:

- ✓ Consideration of safety in design stage
- ✓ Process hazard analysis
- ✓ Preventive maintenance programme for facilities and equipment
- ✓ Ergonomic considerations
- ✓ Material control including purchasing, handling, storage and transportation
- ✓ Workplace environmental survey/monitoring including noise, lighting and ventilation

(xiv) Occupational health assurance programme

- ✓ Identification of occupational health hazards
- ✓ Control of substances hazardous to health at work
- ✓ Occupational health surveillance
- ✓ First aid

4.1.5 Successful safety and health management examples

The following steps to successful safety and health management are chosen from the United Kingdom's Health and Safety Executive for demonstration purpose. Scheme operators may choose other examples to illustrate the principles.

Step one : set policy - Identifying hazards and assessing risks, deciding what precautions are needed, putting them in place and checking they are used to protect people, improve quality and safeguard plants and production.

Step two : organize staff - To make the safety and health policy effective, all staff should be involved and committed. This is often referred to as 'safety and health culture'. The four 'C's for positive safety and health culture are:

- ✓ Competence : recruitment, training and advisory support
- ✓ Control : allocating responsibilities and securing commitment
- ✓ Co-operation : between individual and groups
- ✓ Communication : verbal, written and visual

Step three : plan and set standards - Planning for safety and health involves setting objectives, identifying hazards, assessing risk, implementing standards of performance and developing a positive culture. Standards help to build a positive culture and control risks. They should identify who does what, when and with what result. Standards must be measurable, achievable and realistic.

Step four : measure performance - It helps the organization know where it is, where it wants to be and what is the difference and why. Active monitoring, before things go wrong, involves regular inspection and checking to ensure that the standards set are being implemented and management controls are working. Reactive monitoring, after things go wrong, involves learning from the mistakes, whether they result in injuries and illness, property damage or near misses.

Step five : learn from experience - Audit and review tell the organization about the reliability and effectiveness of its system. The policy should be reviewed regularly or when the need arises, with particular attention paid to:

- ✓ the degree of compliance with safety and health performance standards,
- ✓ areas where standards are absent or inadequate,
- ✓ achievement of stated objectives within given time scales, and
- ✓ injury, illness and incident data, including analysis of immediate and underlying causes, trends and common features.

4.2 **Safety Auditing**

4.2.1 Planning and conducting a safety audit

(i) Introduction to safety auditing

- ✓ Comparison between measurement by consequences and safety auditing
- ✓ Benefits of a comprehensive safety audit
- ✓ Audit objectives and audit plan
- ✓ Comparison between quality auditing and safety auditing

(ii) Safety auditing techniques

(a) Practical steps in safety auditing:

- ✓ Step one : pre-audit preparation including setting audit objectives, establishing audit criteria for measuring performance, preparation of audit plan, and holding pre-audit meeting
- ✓ Step two : audit opening briefing
- ✓ Step three : walk-around tour/checking/observation
- ✓ Step four : conducting interview
- ✓ Step five : verification of information/audit findings, and making recommendations for improvement
- ✓ Step six : close-off briefing
- ✓ Step seven : report writing
- ✓ Step eight : presentation of audit report to top management

(b) Auditing skills:

- ✓ Time management
- ✓ Notes taking/evidence (including information/data) collection
- ✓ Sampling technique

(c) Interviewing technique:

- ✓ Communication skills
- ✓ Methods to encourage voluntary information
- ✓ Types of audit questions

- ✓ Approach to setting interview schedule

4.2.2 Report writing technique/presentation technique

- ✓ Contents of covering letter for a safety audit report
- ✓ Method to present evaluation
- ✓ Presenting recommendations for continuous improvement
- ✓ Final presentation of audit report to top management

4.2.3 Appraisal of common auditing systems

The objective of this section is to introduce to trainees some proprietary safety auditing systems before going into safety auditing in detail. Scheme organizers should select at least two different safety auditing systems with core elements, which coincide with that of this curriculum for demonstration purposes.

4.2.4 Developing in-house safety auditing system

- (i) For the purpose of project assignment, each trainee has to develop a safety auditing system that he feels comfortable in handling. Through this auditing system developing exercise, the trainees should have thorough understanding of what are the basic concepts in a safety auditing system and how it functions. It is also a practical exercise for the trainees to apply the management theories introduced to them earlier in the Scheme.
- (ii) The practical exercise is designed to let the trainees obtain hands-on audit experience. Paper exercises and physical audit using the system that they have developed in a factory or a construction site are to be included.
- (iii) On completion of classroom training, each trainee is to be assigned with either one of the following projects. The project details are:

Project A

- (a) Conduct a base-line audit and submit a report.
- (b) Conduct a follow-up audit later for comparison and prepare the final audit report.

Project B

- (a) Prepare the audit plan for a simulated audit and submit a report.
- (b) Conduct a simulated audit and prepare the final audit report including audit findings and recommendations.

5. Project presentation and Scheme examination

5.1 Project Presentation

The presentation of a safety audit report by individual trainee is meant to be an experience sharing exercise. Each trainee is instructed at the end of the project to prepare for a presentation on the safety audit report and to share with other Scheme trainees his experience during the project assignment work.

5.2 Scheme Examination

At the end of the Scheme, the trainees are required to sit for an examination. The format of the examination is set out as follows:

5.2.1 Examination structure

Part one (20 marks)

20 multiple choice questions on all subjects

Part two (40 marks)

8 short answer questions on all subjects

Part three (40 marks)

- ✓ One essay question on safety and health management principles and activities
- ✓ One essay question on audit theories and techniques

5.2.2 Duration of written examination

The duration of written examination to cover the three parts as mentioned in

section 5.2.1 above is 3 hours.

5.2.3 Passing mark

The passing mark for both the examination and the project shall be at least 60 percent. Individual Scheme Operators may decide to require a higher passing mark for their Scheme.

6. Qualification of Trainers

6.1 The trainer shall:

- A)
 - (i) have a good understanding of the legislation in Hong Kong relating to industrial safety and health matters; and
 - (ii) be a registered safety auditor under the Factories and Industrial Undertakings (Safety Management) Regulation; or
 - (iii)
 - (a) be a registered safety officer under the Factories and Industrial Undertakings (Safety Officers and Safety Supervisors) Regulations; and
 - (b) be a degree holder in a discipline directly related to occupational safety and health (including industrial safety or occupational hygiene) or a certificate holder from a safety auditor training scheme registered by the Commissioner under the Regulation and have not less than 3 years' relevant experience;

or,

- B) be a person recognized by the Commissioner as being competent to carry out safety management and safety auditing training.

6.2 The training related to the local safety and health legislation shall be conducted by a trainer who is a registered safety officer or a registered safety auditor.

7. Trainer to Trainee Ratios

7.1 The number of trainees per trainer shall not exceed 30 per class for practical,

tutorial and project classes.

7.2 The number of trainees per trainer shall not exceed 45 per class for theoretical class.

8. Training Facilities and Arrangements

8.1 The Scheme Operator is required to take all reasonable steps to provide a safe and comfortable physical environment for staff and service users in the training premises, and to ensure the loading, design and structural safety of such premises.

8.2 The Scheme Operator is required to take all reasonable steps to ensure the fire safety of the training premises, including the provision of adequate means of escape in case of fire, and to ensure that all the staff and service users would not be exposed to any undue fire risk.

8.3 Suitable and sufficient training aids such as white board and writing tools, overhead and/or slide projector, public address system (if necessary), video tape recorder with monitor should be made available for use by the trainers during sessions.

8.4 Suitable and sufficient demonstration equipment should be provided during training.

9. Certificate

9.1 Upon successfully completing the Scheme by a trainee including passing the examination and project work, the Scheme Operator shall issue a certificate to the trainee in a form to be approved by the Commissioner.

9.2 Particulars of the certificate issued (including full name of the holder of the certificate, his/her identity card number and the date of issue) shall be submitted to the Commissioner in both soft and hard copies in a format as specified by the Commissioner within 28 days after decision of the Examination Board on the results of any Scheme.

10. Scheme Review and Evaluation

10.1 The Commissioner may from time to time review the contents of the Scheme or evaluate other administrative procedures of the Scheme.

10.2 The Commissioner will endeavor to consult relevant stakeholders regarding the outcomes of any review but necessary changes to improve the effectiveness of the Scheme may be made without notice.

11. Control of Scheme Operators

11.1 As regard to the control of registered Scheme Operators, the Regulation has provisions for the disciplining (including the suspension or cancellation of registration) of under-performing Scheme Operators.

11.2 The Commissioner may take out legal actions and/or refer the matter for hearing by a disciplinary board, if a registered Scheme Operator:

- (a) has failed to comply with any of the provisions of the Factories and Industrial Undertakings Ordinance (including any regulation made under the Ordinance) applicable to a registered Scheme Operator; or
- (b) has obtained registration by fraud or on the basis of inaccurate or misleading information; or
- (c) has ceased to be:-
 - i. competent to be so registered; or
 - ii. fit and proper to be so registered.

11.3 After concluding the hearing, the disciplinary board may exonerate the registered Scheme Operator concerned or may do one or more of the following:

- (a) reprimand the registered Scheme Operator;
- (b) cancel the registration of the registered Scheme Operator;
- (c) suspend the registered Scheme Operator's registration for a specified period of time.

11.4 Section 3(5) of the Regulation requires a Scheme Operator to give notice in writing to the Commissioner not later than 21 days where any information supplied to the Commissioner before, on or after the Scheme Operator's name appeared in the register and any information entered in the register of Scheme Operators has ceased to be accurate. A Scheme Operator who contravenes this Section commits an offence and is liable to prosecution.

11.5 Section 33(1) of the Regulation empowers the Commissioner to inspect the conduct of any Scheme. Under Section 33(5), the Scheme Operator concerned shall, without charge, afford the Commissioner such assistance, facilities and information as the Commissioner may reasonably require for the purposes of the inspection. A Scheme Operator who contravenes this Section commits an offence and is liable to prosecution.

11.6 When it is discovered that a Scheme Operator has obtained registration by fraud, the case will be referred to the Commissioner of Police for criminal investigation. If there is a subsequent conviction, the Commissioner will consider referring the case to the disciplinary board for action.

11.7 When there is reasonable cause to believe that a Scheme Operator has willfully provided inaccurate or misleading information to obtain his registration, the case will be referred to the Commissioner of Police for criminal investigation. If there is a subsequent conviction, the Commissioner will consider referring the case to the disciplinary board for action.

11.8 The eligibility of Scheme Operators for registration is laid down in Schedule 2 to the Regulation. Under the Schedule, the Scheme should provide such theoretical and practical training as is necessary to ensure that a person successfully completing the Scheme will thereby acquire the competence and skills required for conducting safety audits efficiently and effectively. Moreover, the Scheme Operator should have, or have access to, the qualifications and experience which enable the Operator to provide that training. In the event that the Scheme Operator ceases to satisfy such criteria, for example, when he is no longer competent to provide such training or have no competent trainers to run the Scheme, the Commissioner will consider referring the case to the disciplinary board for action.

11.9 In the event that a Scheme Operator ceases to be fit and proper to be registered, such as when he is no longer able to fulfill his obligations as a Scheme Operator, has committed serious professional misconduct or demonstrated a high degree of irresponsibility in blatant disregard of registration conditions, the Commissioner will consider referring the case to the disciplinary board for action.

11.10 The Scheme Operator is required to inform the Commissioner at least 28 days before the commencement of any Scheme.

11.11 The Scheme shall be maintained at a standard acceptable to the Commissioner and shall be updated periodically to cope with the latest legislative, socio-economic or technological changes. Any changes in the particulars of the Scheme, including addition or deletion of trainers and/or training premises, shall be submitted to the Commissioner for prior approval at least 28 days before the changes are implemented.

11.12 All records in connection with the training, examination paper, marking scheme, testing/assessment and issuing of the certificates shall be kept in a safe and secure place and shall be made available for inspection at all reasonable times by an Occupational Safety Officer of the Labour Department.

11.13 A representative of the Labour Department shall sit on the Examination Board of the Scheme. The results of each examination board meeting should be endorsed by the chairman of the board and a copy of the results is required to be given to the representative of the Labour Department immediately after the examination board meeting.

11.14 The feedback or evaluation of the schemes from the students should be collected and a summary with the Scheme Operator's comments is required to be submitted to the Commissioner for reference.

11.15 Examination papers with marking schemes are required to be sent to the Commissioner for moderation one month before each examination.

12. Appeal Process Available to Trainees

12.1 The Scheme Operator is required to develop appropriate procedures for trainees to lodge their complaints regarding the Scheme. Trainees should be well informed of the procedures. The procedures must be included in the scheme operator's application for registration. Trainees may also reflect their complaints on matters relating to the Scheme, the trainer or the Scheme Operator to the Commissioner.

12.2 Any appeal or complaint in relation to the Scheme shall be reported to the Commissioner within 28 days after receipt of such appeal or complaint.

13. Application Procedure

13.1 Any person wishing to apply for registration as a Scheme Operator is required to submit the following:

- ✓ A completed application form (Form 2) (Annex 1)
- ✓ Scheme materials including detailed Scheme contents, duration, examination format, invigilation and sample of the certificate
- ✓ Personal particulars of the trainers including qualifications and working experience
- ✓ Samples of the examination papers with model answers and marking scheme
- ✓ Particulars of the training facilities and arrangements
- ✓ A copy of legal identity of the organization applying for registration

13.2 No application fee or any other fees are payable. The entire process of application is **free of charge**.

13.3 To ensure speedy processing, you must complete all items in the application form. Do not hesitate to contact the Registration and Staff Training Division (RSTD) if you need clarification on any doubtful areas. You should also read the Statement of Purpose for the collection of your personal data in Annex 2.

13.4 Before submitting your application for registration as a Scheme Operator, please make sure that you have enclosed the documents or information stipulated in Annex 3.

13.5 It is the duty of the Scheme Operator to ensure that development and conduct of the Scheme fulfill the provisions of the Copyright Ordinance, Chapter 528.

13.6 Your application will be acknowledged in writing as soon as practicable. If you do not receive an acknowledgement within 10 days, you should check with the RSTD. The RSTD will contact you directly for any subsequent communication. The average time taken for processing an application for registration is two months but the actual time will depend on the completeness of the information supplied.

14. Appeals

If you feel aggrieved by our refusal to register you as a Scheme Operator, you may, within 28 days of being notified by us of such a decision, appeal to the Administrative Appeals Board.

15. Enquiry

For enquiries on the Guidance Notes, please contact the Labour Department through:

Registration and Staff Training Division
Labour Department
Units 815-816, 8/F,
Grand City Plaza,
1-17 Sai Lau Kok Road,
Tsuen Wan, New Territories.

Telephone : 2151 8046
Fax : 2151 4796
E-mail : dso_rst_1@labour.gov.hk

Registration and Staff Training Division
Occupational Safety and Health Branch
Labour Department

表 格 2 FORM 2

工廠及工業經營(安全管理)規例
FACTORIES AND INDUSTRIAL UNDERTAKINGS (SAFETY MANAGEMENT) REGULATION

計 劃 營 辦 人 註 冊 申 請 書 APPLICATION FOR REGISTRATION AS A SCHEME OPERATOR

由勞工處處長就工廠及工業經營(安全管理)規例第 5 條指明的認可格式
*Approved Form specified by the Commissioner for Labour for the purposes of section 5 of
the Factories and Industrial Undertakings (Safety Management) Regulation*

#申請者資料 Particulars of the Applicant

英文姓名/名稱 Name in English		
*中文姓名/名稱 Name in Chinese Characters		
+性質 Nature <input type="checkbox"/> 個人 Person <input type="checkbox"/> 公司 Company <input type="checkbox"/> 教育機構 Educational Institute <input type="checkbox"/> 其他(請註明) Others(Please specify) _____		
+身份證/護照/商業登記/公司註冊號碼 + Identity Card/Passport/Business Registration/Company Registration Number		
地址 Address		
負責人 Responsible Person	職位 Post	電話號碼 Telephone No.

#訓練計劃資料 Particulars of the Scheme

訓練計劃名稱 Training Scheme Title		
授課期 Scheme Duration	授課時數 Contact Hours	所頒證書 Certificate Issued
評核學員方法 Assessment of the Trainee		
功課/平常分 Homework/Continuous Assessment 佔 Constitute _____ %		測驗及考試 Test & Examination 佔 Constitute _____ %
設備 Facilities		

計劃內容 Scheme Contents		
導師資料 Particulars of Trainers		
姓名、香港身份證/護照號碼 Name & HK Identity Card/Passport Number	學歷 Academic Qualifications	經驗 Experience
其他有關資料 Other Relevant Information		

獲授權簽署人 Authorized Signatory : _____

姓名 Name :

職位 Post Title :

日期 Date :

附註 Note:

- (1) 如資料有所更改，請以書面通知勞工處處長
Please give notice in writing to the Commissioner for Labour of any change in particulars
- (2) 請注意附帶的‘收集個人資料之目的’ Please note the attached ‘Statement of Purpose for the Collection of Personal Data’
- (3) * 如適用者，請填寫這項 Please complete this part if applicable
- (4) # 如果空位不足夠，請使用附加紙張填寫 Please use separate sheets in case of insufficient space
- (5) + 請選擇適用者 Please select if applicable

STATEMENT OF PURPOSE FOR THE COLLECTION OF PERSONAL DATA
BY OCCUPATIONAL SAFETY AND HEALTH BRANCH
LABOUR DEPARTMENT

(Application for Registration)

Purposes of Collection

1. The personal data provided by you by means of this form will be used by the Occupational Safety and Health Branch of the Labour Department for the following purposes:

- (a) activities relating to the administration of the Factories and Industrial Undertakings Ordinance and Occupational Safety and Health Ordinance and other legislation administered by the Labour Department;
- (b) facilitating processing of your applications in this form and subsequent investigations and evaluation of registration conditions;
- (c) maintenance of a register of Registered Safety Officer or a register of Registered Safety Auditor and Registered Scheme Operator for public access under regulation 6 of the Factories and Industrial Undertakings (Safety Officers and Safety Supervisors) Regulations or under section 3 of the Factories and Industrial Undertakings (Safety Management) Regulation;
- (d) facilitating communication between Labour Department and yourself on your application and other relevant matters; and
- (e) carrying on research and compilation of statistical data.

Classes of Transferees

2. The personal data you provided may be disclosed to relevant parties and authorities (e.g. Government Bureaux and Departments, Law firms, etc.) for the purposes mentioned in paragraph 1 above.

Access to Personal Data

3. You have a right of access and correction with respect to personal data as provided for in Sections 18 & 22 and Principle 6 of Schedule 1 of the Personal Data (Privacy) Ordinance. Your right of access includes the right to obtain a copy of your personal data provided to this department.

Enquiries

4. Enquiries concerning the personal data collected, including the making of access and corrections, should be addressed to:

Divisional Occupational Safety Officer (Registration and Staff Training)
Registration and Staff Training Division
Occupational Safety and Health Branch
Labour Department
Units 815-816, 8/F, Grand City Plaza,
1-17 Sai Lau Kok Road,
Tsuen Wan, New Territories.

Checklist of Supporting Documents

Before submitting your application for registration as a Scheme Operator, please make sure you have enclosed the following documents or information:

<input type="checkbox"/> Application Form (Form 2)
<input type="checkbox"/> Scheme Contents
1. Safety Management
1.1 Duties of Proprietors or Contractors, Registered Safety Auditors, Safety Review Officers
1.2 Legal Framework of the Factories and Industrial Undertakings (Safety Management) Regulation and the requirements of Code of Practice on Safety Management
1.3 Occupational Safety & Health Management Systems/ Standards (at least 2)
1.4 Concept of Loss Control
1.5 Principles of Safety Management
1.6 Key Process Elements in Safety Management System
● Safety policy
● Organizational structure
● Safety training
● In-house safety rules
● Inspection programme
● Hazard control programme
● Accident/incident investigation
● Emergency preparedness
● Evaluation, selection and control of sub-contractors
● Safety committees
● Job-hazard analysis
● Safety and health awareness
● Accident control and hazard elimination
● Occupational health assurance programme
1.7 Successful Safety & Health Management Examples
2. Safety Auditing
2.1 Planning and Conducting a Safety Audit

● Introduction to safety auditing
● Safety auditing techniques
- Practical steps in safety auditing
- Auditing skills
- Interviewing technique
2.2 Report Writing Technique/Presentation Technique
2.3 Appraisal of Common Auditing Systems
2.4 Developing In-house Safety Auditing System
3. Project Presentation and Scheme Examination
3.1 Project Presentation
3.2 Scheme Examination
● Examination structure
● Duration of written examination
● Passing mark

<input type="checkbox"/> Administration
1. Copy of Business Registration Certificate/Certificate of Incorporation
2. Scheme Contents and Handouts
3. Admission Requirements
4. Qualification of Trainers
5. Trainer-Trainee Ratio
6. Training Facilities and Arrangement
7. Medium of Teaching
8. Venue
9. Sample of Certificate
10. Samples of Examination Papers with Model Answers and Marking Schemes
11. Examination Board
12. Appeal Process

Notes:

1. Failure to provide these documents may result in delay in processing your application
2. The Labour Department reserves the right to verify your documents with the appropriate authority.
3. You may be asked to come to this office for producing the original of the documents that you have submitted.