Guide to the Skills Development Portfolio

Version 6

All portfolios submitted online must follow this guidance
**IPD and CPD**

Initial Professional Development (IPD) is a one-off process that is available only to Graduate members. It’s the process that takes you from Graduate to Chartered status. Most of IPD is available online and there are several routes through IPD. Which route you are enrolled on is governed by the qualification that gave you Graduate membership. Routes that involved an academic qualification require the completion of a Skills Development Portfolio (SDP), to demonstrate application of knowledge gained, and this can be completed online.

Whichever route is taken, the final stage of the IPD process is the Peer Review Interview (PRI).

CPD is your Continuing Professional Development programme. You must do this online through MyCPD. You must maintain your CPD record throughout your membership of IOSH in order to retain your membership status and postnominal letters (GradIOSH now and CMIOSH when you achieve Chartered status).

Members who wish to progress to the PRI will have their CPD audited by IOSH. Graduate members who have been successful with their Skills Development Portfolio but don’t have a satisfactory and up to date CPD record won’t be allowed to progress to Peer Review Interview.

Your registration for IPD lasts for two years, which should be sufficient time to complete the process. Should you not complete it within this time, you will need to re-register. You are not required to have been a Graduate member or registered for IPD for any specific length of time before you can start or complete it. Quite simply, once your portfolio has been approved you will be able to move to interview provided your CPD is satisfactory, and once you have been successful at interview you will be recommended for transfer to Chartered Status. So how quickly you get to Chartered status is largely up to you!
Selecting performance criteria

There are five elements in a Skills Development Portfolio, each containing several performance criteria from which you can choose. You must select 1 performance criterion from elements 1 to 3, and 2 performance criteria from elements 4 and 5, to address.

e.g.

Element 1 – 1.4
Element 2 – 2.1
Element 3 – 3.3
Element 4 – 4.1 & 4.5
Element 5 – 5.2 & 5.3

These should be the performance criteria that you can most easily demonstrate. The performance criteria you find easier to cover may not be the same as other Graduate members but this is exactly why there is a choice in each element.

We recommend that you read through the guidance for each performance criterion, this will help you to decide whether you’ll be able to cover its requirements. Ideally, your choices will correlate with work you have already done or are undertaking that could meet the criteria requirements.

You can change your mind at any time your portfolio is not under assessment, and change a performance criterion, even if you have partly completed it.

It is best to submit one criterion at a time, have this assessed, review the feedback from the assessor, make any necessary corrections, have this approved, and then submit another criterion. That way, if you have misunderstood any general points about submissions, you will not have to go back and correct all of your seven criteria submissions.

What if I can’t cover the criterion in my current role?

Members who are unable to cover the required 7 performance criterion within the remit of their current or previous roles have three options:

Firstly they can look for opportunities within their organisation or for clients e.g. if in order to cover a performance criterion you’re required to demonstrate that you’ve developed or implemented emergency procedures but that is the role of another department or individual – then ask if you can develop or implement these procedures on their behalf in order to satisfy the criterion.

The second alternative is for you to undertake some voluntary/charitable work in order to cover your outstanding criterion.

The third option is to carry out work for others, perhaps in a part-time consultancy role.

Do bear in mind, though, that if you carry out work involving providing advice/assistance to people outside your normal employed role, you should make sure that you have suitable insurance to do so.

Remember this is not about demonstrating that you can cover these criteria within the remit of your current role. It is about demonstrating that you can cover the criteria in whatever role, to the level that would be expected of a Chartered Safety Practitioner.

Security Issues and Client confidentiality

If you have confidentially issues within your organisation (or that of your client) then you can remove any company names and addresses from your evidence – just remember not to remove yours!
Please be aware of the requirements of the Data Protection Act (or similar provision) about personal information, and redact names or other identification if the information is of a personal nature (e.g. accident reports), or obtain and demonstrate the permission of the person concerned to include such details.

If you work for an organisation that requires you to sign the Official Secrets Act, or you need security clearance to see the documents you’re working on then we’ll need to know, before you submit any material. We can find you an assessor who has the required level of security clearance in order to assess your portfolio for us. As soon as you know when you’re going to submit your portfolio/criteria – let one of our membership development advisors know and they can start the process of finding someone suitable. If you don’t inform us until your portfolio is submitted this may result in your progression being held up whilst we find an assessor, and you may have breached the requirements of the Official Secrets Act or similar restrictions.

**Activity sheets**

The activity sheets are for you to provide details of what happened in addressing the requirements of the criteria, and the evidence that was produced and submitted, broken down into discrete activities that make up the body of work.

Complete the Activity sheets in the following manner:

- **Outline and background** – a brief explanation of the body of work or project you are presenting for the criterion, including the reasons for it
- **Activity column** – simply a sequential number given to your activities
- **Description column** - provide some details about what the aim of the activity is, for example, ‘Identify the Key individuals to consult with’.
- **Dates column** – when exactly the activity/event took place (start and end dates)
- **Outcome column** – Explain what happened once your aim was achieved. E.g. ‘I identified the key individuals to consult and set up a meeting to discuss….’
- **Evidence column** – List your evidence and give it a sequential number or other form of identification that will enable it to be cross-referenced to the actual evidence uploaded
- **Upload column** – in here will appear the links to the evidence you upload.
Reflective accounts

Reflective practice is important for all Chartered members. The IPD scheme supports the development of the principles of reflective practice by requiring you to submit a reflective account for each criterion submission as part of your portfolio.

The primary purpose of the reflective account is to enable you to demonstrate your ability to analyse the personal professional practice you’ve just carried out in order to cover the criterion, in terms of the outcomes and learnings from the body of work. There is no word limit for a reflective account (although one that extends to significantly more than two pages is likely to have drifted off the point, and one that is less than a page is unlikely to cover all the required aspects).

In your reflective account you should cover observations relevant to your development within the chosen performance criterion as follows:

- The context and background of the activities you carried out to meet the criterion.
- Your professional objectives
- Your approach and the reasons for it, including interpretation of data
- Details of your completed activities, including where relevant the contribution of others
- The result of the activities and the extent to which your objectives were achieved
- Details of the strengths and weaknesses of the approach you took and learning points for the future
- Details of any strengths and weaknesses that you have identified within yourself including details of how you intend to improve these areas if they are important in your role

Don’t repeat all the information from your activity sheets – summarise or reference as appropriate the information required. If you find it helpful, you can use the bullet points above as sub-headings in your reflective accounts.
Activities and Evidence

You can use activities and evidence from up to two years before the date on which you made the criterion submission. If you want to use something from prior to this date (within reason) you will need to review and update it in order to confirm its currency. A second possible exception is in the case of an ongoing project that commenced prior to two years before the submission date (again within reason), but includes substantial evidence coming within the two year period. The general protocol we use is to stop the clock on the age of evidence when the criterion it is featured in is first submitted for assessment, so that it will not become unacceptable during the assessment and any re-submission process – within reason. If the evidence has significantly exceeded the two year limit, but no work has been done on the submissions for a year or more, we would no longer consider the evidence acceptable if you subsequently take up the portfolio at a later date, and you would need to submit more up to date evidence.

You do not need to use evidence from your current role. We are not looking for you to demonstrate that you can cover the criterion entirely within your current role, but rather that you can cover it with your current knowledge in whatever role.

If you are a consultant please check with your client that you can use documents before you base your activities on them. If you intend to use specific templates (e.g. for risk assessments) produced by others (with the exception of those in the public domain), please make sure you have permission to use these. If you have evidence containing personal/敏感 data on individuals, either obtain their express permission to use it, or remove identifying details before submission, in order to comply with the Data Protection Act. We do operate a secure environment for submissions and adhere to Data Protection principles at all times, but this does not remove your responsibility to comply. If there are commercially or legally sensitive issues within your evidence, please check with your organisation or client and obtain their permission, and submit evidence of such permission. For further details please consult the specific guidance provided on confidentiality.

If you submit emails, make sure you identify the recipient’s role – Mr Smith doesn’t mean anything to the assessor, but Mr Smith (Managing Director) gives a clear indication of who you are communicating with. Alternatively, provide an organogram or other means of identifying individuals involved. A similar consideration would apply to minutes of meetings where attendees are listed.

Evidence of consultation could consist of formal minutes of meetings, but some meetings may not generate such minutes. In this case, your hand-written contemporaneous notes of the meeting are acceptable (as long as they are legible), which you should sign to confirm their authenticity.

Unsuitable Evidence

Your portfolio must be based purely on Health and Safety. If you have aspects of Environmental, Quality Management or Security in your role this evidence is not generally suitable, unless it has demonstrable health and safety relevance. You can however use any development that you complete in these areas as Continuing Professional Development (CPD).

Blank forms – these generally do not demonstrate the application of your knowledge. The only instance when blank forms may be relevant is when you are demonstrating a process or system that you have developed – even then we recommend that you submit a completed form as well.

Links to websites – linking to a source of information on the internet (such as the HSE website) generally doesn’t show how you’ve applied your knowledge, unless of course you’ve written a document that is on the website.
Documents produced by others – this portfolio is about demonstrating your application of your knowledge – not your ability to get others to apply their knowledge. An exception might be where you have demonstrably reviewed a document produced by others.

Witness statements/testimonials – these can be submitted alongside other evidence but should not be submitted as stand-alone documents to cover a criterion. One way they could be used might be if the only way you can prove that something is your own work is through a testimonial from e.g. your manager; this should be a last resort and other methods of demonstrating authorship should be used if possible.

Large documents – it is not generally necessary to put in a whole report if you are just referring to one paragraph, if the rest of the report isn't relevant. You can submit the front page, index and your relevant section. On your Activity sheet, simply list it as, 'an extract from a report I produced….', or 'an extract I produced for …..'. If you do submit a report/meeting minutes where only a section applies as evidence, you should highlight the relevant section.

Legal Privilege – any documents that are subject to legal privilege should not be submitted without express permission of your organisation/client, bearing in mind that submission to IOSH could well negate such legal privilege, and the document could then be disclosable in court proceedings.

Plagiarism – submitting evidence that has been copied from other sources, including from other candidates, and presenting this as your own work is classed as plagiarism. It is recognised that candidates will occasionally submit documents from other sources (e.g. HSE guidance documents, other people’s work that is being reviewed). As long as it is clear from the document itself that it is not being presented as your own work, and you have referenced the source of it, or used recognised quoting protocols in the case of sections of a document, then this is acceptable (providing that it only constitutes a very small proportion of your material). If however you submit evidence or activity text that has been copied from elsewhere and present this as your own work, then this is plagiarism, and is viewed very seriously by IOSH. Deliberate or persistent examples of this could result in the disqualification of the criterion submission or the IPD process overall, and possibly disciplinary action under the IOSH Code of Conduct. It is important therefore to avoid this, or check with IOSH if unsure.
Performance criteria – detailed guidance

The following pages will go through each element and each performance criterion within that element.

At the start of each criterion, there is the title of the criterion, typically followed by a qualifying statement providing further detail, and the minimum number of activities and items of evidence required for that criterion, followed by guidance on the areas to cover. The activities can be a wide range of tasks/communications/exercises that you go through in the process of satisfying the criterion, and the evidence will be various forms of documentation that demonstrate the completion of the activities. Minimum numbers for these are stipulated for each criterion to set a base level to try and ensure that the criteria are tackled at a suitably high level and provide the assessors with sufficient material to arrive at a meaningful assessment of the submission. The online system will not allow you to submit for a criterion if the minimum number of activities and evidence are not present. Submitting blank evidence entries or activities to circumvent this control is not acceptable.

For some performance criteria there are a number of ways that you can cover the criterion and these are detailed as options. Under each option, or for the criterion as a whole, the guide will tell you what your objectives are and will give you guidance in the form of ‘Areas to cover’, ‘Key points’ where appropriate, an example activity sheet and other helpful tips. The example activity sheet is only an example of the activities that you could use to cover this criterion; you should use activities relevant to your work, but by reading through the examples given it should help you get a feel for what the criterion is asking for.

If you choose to cover it from a different angle make sure you don’t go off the point.

The guidance on aspects that should be covered in the ‘Areas to cover’ and ‘Key Points’ sections are the minimum that you should aim to cover, but if you have other activities you wish to list then do so.

Once you have made a start on your portfolio, if you find you are struggling with some aspects of it then contact the Membership Department to speak to a Membership Development Advisor. The advisors are not health and safety professionals but will be able to answer any questions you have about the process. They can also discuss with you the additional support and resources available and how to access them.

It is recognised that candidates completing this portfolio will come from various backgrounds and job roles. The criteria guidance is generally phrased on the basis of a health and safety role in the candidate’s own organisation, or a client’s organisation if a consultant, on the basis that this will encompass the majority of candidates. However, candidates who are health and safety directors, enforcement body inspectors, those with a health and safety role in addition to a main employed role etc, should still be able to identify and apply criteria that they can complete. Any members who are having difficulty choosing criteria because of their job role should contact IOSH for advice.
The Criteria - Summary

Element 1 – Promoting and developing a positive safety culture in an organisation, and its integration with other management functions

Performance criteria, select one from:

1.1 Developing or reviewing an organisation’s health and safety strategy
1.2 Engaging individuals and groups in the promotion and development of a positive safety culture
1.3 Developing and maintaining individual and organisational competence in health and safety
1.4 Making a presentation at a meeting or seminar
1.5 Identifying and overcoming barriers to an effective health and safety culture

Element 2 – Undertaking work-based projects to develop or implement positive health and safety policies and processes in an organisation

Performance criteria, select one from:

2.1 Analysing the impact of health and safety requirements on inputs, processes and outputs
2.2 Using goals and performance targets to design and implement positive health and safety processes
2.3 Identifying or using appropriate management techniques to implement a health and safety policy
2.4 Engaging individuals and groups in developing and implementing a health and safety policy
2.5 Developing and implementing an occupational health system in an organisation

Element 3 – Developing or implementing effective communication systems for health and safety information

Performance criteria, select one from:

3.1 Identifying, evaluating and using sources of health and safety information for dissemination internally and externally
3.2 Producing publications on health and safety
3.3 Developing and implementing communication systems between different areas of your organisation or client
3.4 Developing or implementing effective communication with contractors
3.5 Contributing to legal actions

Element 4 – Assessing the health and safety risks of an organisation

Performance criteria, select two from:

4.1 Evaluating risk assessment methodologies
4.2 Carrying out risk assessment activities
4.3 Applying appropriate tools and techniques for measurement or investigation
4.4 Identifying actual and potential loss events and making recommendations
4.5 Assessing human factors and addressing behavioural safety
4.6 Developing or implementing a risk assessment and control strategy

Element 5 – Managing the health and safety risks of an organisation

Performance criteria, select two from:
5.1 Developing and applying safe systems of work
5.2 Developing or implementing health and safety active monitoring systems, including gathering and analysing appropriate data
5.3 Analysing loss events using effective methods of investigation
5.4 Developing or implementing health and safety emergency response systems, contingency plans and procedures
5.5 Developing and implementing health and safety audit systems and formulating reports
5.6 Reviewing a health and safety management system and making recommendations
Element 1 – The promotion and development of a positive safety culture in an organisation, and its integration with other management functions

1.1 Developing or reviewing an organisation’s health and safety strategy

You need to demonstrate that you have developed or reviewed the strategy of the organisation, identifying internal and external factors, and have developed a suitable revised strategy and implemented this.

Minimum activities: 5
Minimum evidence: 6

Areas to cover:
- Identify key internal and external factors impacting on the organisation
- Identify trends and likely future developments in those factors
- Select and use appropriate ways of gathering information
- Consult with appropriate people in the assessment of necessary change
- Develop the strategy to maximise opportunities and minimise obstacles
- Ensure review processes are in place
- Receive feedback and act upon this to revise the strategy

Example activity sheet:

Outline and Background
My organisation was moving into new markets, which highlighted possible deficiencies in our strategy for addressing health and safety legislation and best practice. It was considered therefore that the time was right to review and amend our overall strategy. I carried out a review of the relevant factors, compiled information on what we needed to address, and consulted with directors and managers to get their input to make sure that what was developed would be workable and would have their support. I developed the new strategy and put in place mechanisms for reviewing this periodically.

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<tr>
<th>Activity</th>
<th>Description</th>
<th>Dates</th>
<th>Outcome</th>
<th>Evidence</th>
<th>Upload</th>
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<tbody>
<tr>
<td>1</td>
<td>Carried out a SWOT analysis of my organisation</td>
<td>August 2016</td>
<td>Strengths and weaknesses identified to inform the process of developing a new strategy</td>
<td>1. List of information sources used for data 2. SWOT analysis of the organisation</td>
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<td>3</td>
<td>Consulted with directors and managers</td>
<td>September 2016</td>
<td>Feedback from them, which was valuable in view of their experience, highlighting some issues I hadn't thought of</td>
<td>6. Email to MD and his response 7. Minutes of managers meeting at which this was discussed 8. Amended report taking feedback into consideration</td>
<td></td>
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<tr>
<td>5</td>
<td>Developed review process to ensure regular scrutiny of the strategy against prevailing market conditions</td>
<td>October 2016</td>
<td>Documented review policy, signed by MD</td>
<td>11. Review policy signed by the MD 12. Screen shot of intranet showing the policy as now accessible</td>
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</table>
1.2 Engaging individuals and groups in the promotion and development of a positive health and safety culture

Key points
• Make sure you cover both individuals and groups
• Make sure you cover both the promotion and development

Minimum activities: 4
Minimum evidence: 6

Areas you should cover in this criterion:
• identifying topic areas, including aims and objectives
• identifying key personnel
• demonstrating how you engaged them
• carrying out activities to develop the health and safety culture
• gathering feedback and explaining your follow up.

Example activity sheet:

Outline and Background
In a recent audit, one issue that was identified was the weakness and inconsistency of our induction process for new employees. We had an employee handbook, but this had not been reviewed for some years, and important information from this was not consistently brought to the attention of new employees. I therefore got the names of all new starters, developed a new induction presentation and reviewed and revised the employee handbook to match this. I consulted with line managers, gave the presentation to the latest group of new or recently started employees, and got feedback from them which will enable me to fine tune the presentation for future use.

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<tbody>
<tr>
<td>1</td>
<td>Contact the HR department to request the names and job titles of new starters for the month</td>
<td>September 2016</td>
<td>List of people to include in induction activity</td>
<td>1. Email to HR asking for new starters’ details</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Develop general induction presentation and booklet for attendees</td>
<td>September 2016</td>
<td>Induction presentation developed for new starters, and employee handbook reviewed and revised.</td>
<td>2. Copy of presentation and notes I’ve produced. 3. Extract from the health and safety section of the employee handbook with changes marked where I’ve reviewed it</td>
<td></td>
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<tr>
<td>Activity</td>
<td>Description</td>
<td>Dates</td>
<td>Outcome</td>
<td>Evidence</td>
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</table>
| 3        | Liaise with Managers of departments to make sure that the presentation covers all the main hazards within in their areas. | October 2016 | Consultation with managers to arrive at a useful and pertinent content to the induction | 4. Email to managers asking for feedback on the presentation.  
5. Emails from 3 managers giving feedback.  
6. Evidence that I've modified the presentation in light of the feedback. |
| 4        | Give presentation | October 2016 | Induction presented to new employees | 7. Attendance sheet from presentation                                      |
| 5        | Get feedback from attendees to gauge how effective the presentation was | October 2016 | Feedback obtained to learn from | 8. Copy of some attendees' feedback forms |
1.3 Developing and maintaining individual and organisational competence

You need to demonstrate that you have identified training needs in the organisation, have developed or sourced training needed, and have monitored the success of this training.

Minimum activities: 4
Minimum evidence: 6

Areas to cover:
- Analyse the functions, activities, tasks and job roles within the organisation
- Identify present health and safety competencies and additional competencies required
- Identify, design or source appropriate training or other development activities
- Provide or supervise the delivery of appropriate training or development
- Obtain feedback on training activities
- Monitor the effectiveness of training or development activities

Example activity sheet:

<table>
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<tr>
<th>Activity</th>
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</thead>
<tbody>
<tr>
<td>1</td>
<td>Contacted the HR department to obtain job descriptions for all types of employees, and consulted with line managers to determine if these job descriptions matched the demands of the employees’ job roles.</td>
<td>August 2016</td>
<td>I was able to assemble a matrix of principal job roles</td>
<td>1. Emails to and from HR about job descriptions 2. Emails and responses from line managers 3. Section of job role matrix (this was a very large document in total)</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>From analysis of job roles, identified the health and safety training/competencies required</td>
<td>August 2016</td>
<td>Second matrix, showing job roles, health and safety knowledge and competence required for these</td>
<td>4. Matrix of job roles and training required</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Through a gap analysis, identified what training had already been done, and what additional training was required</td>
<td>September 2016</td>
<td>Third matrix, showing training received and training needed through a traffic light colour system</td>
<td>5. Matrix of training received and required against job role</td>
<td></td>
</tr>
<tr>
<td>Activity</td>
<td>Description</td>
<td>Dates</td>
<td>Outcome</td>
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<td>4</td>
<td>Determined what training I could carry out, and what training we needed to source externally</td>
<td>September 2016</td>
<td>Report on training required, with proposals on how this would be done, and identifying external training providers needed</td>
<td>6. Report on training with proposals 7. Email to MD with report 8. Reply from MD giving the go ahead</td>
<td></td>
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<tr>
<td>5</td>
<td>Carry out training and ensure that external trainers provide specialist training</td>
<td>October 2016</td>
<td>Training carried out, comprising a mixture of training done by me and training carried out by external specialists</td>
<td>9. Sheets showing attendance on some training courses 10. Sample of one of the training slides I used</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Obtained feedback to help assess the effectiveness of the training provided</td>
<td>October 2016</td>
<td>Feedback which enable me to compile a report on the training, with further recommendations</td>
<td>11. Sample of feedback sheets from trainees 12. Emails to line managers with responses 13. Formal report on training carried out</td>
<td></td>
</tr>
</tbody>
</table>
1.4 Making a presentation at a meeting or seminar

You need to demonstrate that you’ve given a presentation at a meeting or seminar which is promoting a positive health and safety culture. This should be a discrete presentation, rather than a complete training course, and must be on an area of health and safety.

Minimum activities: 4
Minimum evidence: 5

Areas to cover:
• how you identified the topic area for your presentation
• how you identified your target audience
• what research you did for your presentation
• who you consulted with
• demonstrating the development of the presentation
• demonstrating carrying out the presentation
• how you gained feedback and acted on this

Example activity sheet:

<table>
<thead>
<tr>
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<th>Outcome</th>
<th>Evidence</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Identify a topic that needs promoting within my organisation</td>
<td>September 2016</td>
<td>I gained an understanding of live health and safety issues within my organisation, and from these identified the most crucial one that needed addressing</td>
<td>1. Copy of health and safety questionnaire I developed to gain an understanding of health and safety awareness amongst the lecturing staff.</td>
</tr>
<tr>
<td></td>
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<td>2. Table showing the results of the questionnaire.</td>
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<td>3. Report detailing the findings of the questionnaire and the topic areas that are less well understood.</td>
</tr>
<tr>
<td>Activity</td>
<td>Description</td>
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<td>Outcome</td>
<td>Evidence</td>
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</tr>
<tr>
<td>2</td>
<td>Topic identified (Manual Handling), research for information for presentation</td>
<td>September 2016</td>
<td>Reviewed, updated and expanded my knowledge and understanding of manual handling</td>
<td>4. My notes – showing headings and proposed content. 5. Copy of indg143 Getting to grips with manual handling with my annotations. 6. Copy of my reflective statement from my CPD record – detailing what I have learned.</td>
</tr>
<tr>
<td>3</td>
<td>Produce a presentation</td>
<td>September 2016</td>
<td>Refreshed my knowledge of Powerpoint</td>
<td>7. Copy of presentation I have produced.</td>
</tr>
<tr>
<td>4</td>
<td>Carry out presentation and collect feedback</td>
<td>October 2016</td>
<td>Presented to target audience successfully, gained feedback and learned from this for future presentations</td>
<td>8. Email to Managers explaining 2 options for dates and times of presentations – asking that their staff book themselves onto one of the options. 9. Attendance lists 10. Feedback forms from staff who attended. 11. Summary of main points from feedback and changes to presentation in the light of these</td>
</tr>
</tbody>
</table>
1.5 Identifying and overcoming barriers to an effective health and safety culture.

You need to demonstrate that you’ve experienced barriers whilst promoting or developing a positive safety culture and that you’ve gone on to overcome them. This is a common area for health and safety professionals.

Minimum activities: 5
Minimum evidence: 7

Typical barriers could be a lack of:
- support from various members of staff or client personnel
- resources
- training
- understanding
- interest
- commitment

You need to give two examples of times when you’ve overcome a potential barrier. In each case you should cover:
- what you were trying to do to promote or develop a positive safety culture when you encountered the barrier
- what or who the barrier was
- how you overcame it
- what the final outcome was

Ways in which you could overcome the barriers could include:
- challenging unsupportive members of staff or client personnel
- using existing resources more effectively
- providing suitable training
- explaining what you’re trying to do
- using new approaches and ideas to refresh your approach
- promoting visible safety objectives in organisational change processes
- monitoring and encouraging compliance with agreed improvement plans
- repackaging and re-presenting ideas to try to achieve support

Example activity sheet (one example only)

Outline and Background
One of the first jobs I had to do on joining my present employer recently was to carry out an audit to assess the health and safety culture and practice in the company. The senior managers had a feeling that all was not well with the quality and degree of implementation of the health and safety management system, but were unsure where the problems lay, or what to do about them. After carrying out the audit, I identified several areas where custom and practice fell far short of complying with legislation and best practice. When I started to try and remedy this, I encountered considerable resistance from middle managers, and so had to try various approaches to win them over and achieve improvement.

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<th>Activity</th>
<th>Description</th>
<th>Dates</th>
<th>Outcome</th>
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<tbody>
<tr>
<td>1</td>
<td>Carried out an audit to assess the safety culture within the company</td>
<td>August 2016</td>
<td>Audit report highlighting several areas of poor health and safety practice</td>
<td>1. Audit report 2. Email to managers with report</td>
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<tr>
<td>Activity</td>
<td>Description</td>
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<tr>
<td>2</td>
<td>Considerable resistance and negative opinions received from some line managers, which I analysed to assess what the issues were</td>
<td>September 2016</td>
<td>Collated opinions from managers, and identified a common opposition to safety inspections</td>
<td>3. Sample email response from a line manager</td>
<td>4. Notes I took at an informal meeting with line managers</td>
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<td></td>
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<td>5. Table of analysis of issues</td>
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<tr>
<td>3</td>
<td>Managers clearly had a negative experience of safety inspections from previous advisors, which I had to counter, and I identified an initial method of an open training session where feedback was encouraged</td>
<td>October 2016</td>
<td>Developed a presentation on safety inspections, using real life examples of when things had not been picked up to prevent accidents</td>
<td>6. Research notes on inspections</td>
<td>7. Presentation on inspections</td>
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<td>8. Notes I took of issues raised by managers who attended the presentation</td>
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<tr>
<td>4</td>
<td>Follow up to presentation with individual managers on their concerns</td>
<td>October 2016</td>
<td>Most managers could see the value of inspections, and were willing to take part</td>
<td>9. Notes from a meeting with a key line manager</td>
<td>10. Follow up email to managers</td>
</tr>
<tr>
<td>5</td>
<td>Once concerns and negative impressions of inspections had been addressed, encouraged managers to carry out simple inspections, which I would be present at to guide and acknowledge their efforts</td>
<td>October 2016</td>
<td>Agreement from line managers to carry out simple inspections, and initial efforts in this regard boded well for the future</td>
<td>11. Email to line managers, with a positive response from one key manager</td>
<td>12. Initial inspection rota</td>
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<td>13. Sample inspection report from a line manager</td>
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</table>
Element 2 – Undertaking work-based projects to develop or implement positive health and safety policies and processes in an organisation

2.1 Analysing the impact of health and safety requirements on inputs, processes and outputs.

This criterion involves identifying the inputs, processes and outputs of your organisation or client and then looking at their health and safety requirements. It’s easier to cover if you work for a manufacturing organisation, or provide consultancy services for one, but with a broad approach can be applied to most organisations.

Minimum activities: 4
Minimum evidence: 5

Areas to cover:
• what the inputs, processes and outputs of your organisation or client are
• whether any of them have health and safety implications and requirements
• what is currently done to ensure that these health and safety requirements are met
• whether there are any areas where these requirements aren’t met
• what you would recommend should be done to meet these requirements
• you should ensure that at least 2 areas of shortfalls are fully detailed in your recommendations

Example activity sheet:

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<tr>
<th>Activity</th>
<th>Description</th>
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<th>Outcome</th>
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</thead>
<tbody>
<tr>
<td>1</td>
<td>Identify the inputs, processes and outputs of my organisation.</td>
<td>September 2016</td>
<td>Gained better understanding of business by carrying out this analysis</td>
<td>Table I have produced identifying the inputs, processes and outputs.</td>
<td></td>
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<tr>
<td>2</td>
<td>Identify the health and safety requirements of these identified inputs, processes and outputs.</td>
<td>September 2016</td>
<td>Increased understanding of the health and safety issues associated with the stages of the business processes</td>
<td>Table showing inputs, processes and outputs and the health and safety requirements relating to each of these.</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Identify how my organisation has ensured that these requirements are met.</td>
<td>October 2016</td>
<td>Collation of information on health and safety management system to enable analysis of effectiveness</td>
<td>3. Table showing as above and how the organisation has covered these requirements. 4. 4 policies that have covered various requirements.</td>
<td></td>
</tr>
<tr>
<td>Activity</td>
<td>Description</td>
<td>Dates</td>
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</table>
| 4        | Identify where there are requirements that are not covered and provide recommendations for the Board as to how this might be met. | October 2016 | Detailed analysis of effectiveness and efficiency of management system in addressing health and safety issues, identifying areas for action | 5. Report I have produced identifying requirements that we don't meet along with how I would recommend that we can meet these requirements.  
6. Copy of my email of report to my Director for comment.  
7. Confirmation that I have put 2 additional procedures in place |        |
2.2 Using goals and performance targets to design and implement positive health and safety processes

This criterion asks you to demonstrate that you can identify deficiencies in your organisation’s health and safety management system or practices, put together a programme in order to address them, and implement or oversee implementation of this

If you are a consultant, you could apply this criterion to one of your clients, undertaking similar work for their organisation.

Minimum activities: 4
Minimum evidence: 6

Areas to cover:
• identifying deficiencies (in management or implementation) and how you did this
• consulting others
• making recommendations
• putting together a programme for implementing recommendations, including deadlines and persons responsible for actions
• addressing any recommendations you’re responsible for
• providing an update on implementation of the programme

Example activity sheet:

Outline and Background
The scheduled annual audit of the health and safety management system, and its implementation, was due at the end of the calendar year. I therefore informed the relevant managers of the audit date, and what information I would require, to give them a chance to prepare. The audit went generally well, with some fairly minor issues highlighted, and I was able to compile a programme to address these. One issue that did come to light was regarding the lack of a detailed fire risk assessment, and this was an issue I needed to address as the health and safety advisor to the company.

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<th>Activity</th>
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<tbody>
<tr>
<td>1</td>
<td>Audit the current safety management system to identify deficiencies.</td>
<td>August 2016</td>
<td>I carried out the audit, which highlighted some deficiencies, explained in my report.</td>
<td>1. The completed audit checklist 2. The report I produced highlighting deficiencies</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Analyse the results of the audit and where necessary make recommendations for change</td>
<td>September 2016</td>
<td>I analysed the results and made recommendations to enable us to meet the requirements. I emailed this report to the director responsible for health and safety for comment</td>
<td>3. Report I produced detailing recommendations in order to meet requirements including time frames. 4. Copy of email I sent to my director for comment.</td>
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<td>Activity</td>
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<tr>
<td>3</td>
<td>Compile a programme to address the recommendations</td>
<td>September 2016</td>
<td>Programme for improvement, with people assigned to implement this and deadlines for doing so</td>
<td>5. The improvement programme</td>
<td></td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td>6. Email of the programme to the relevant people</td>
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<tr>
<td>4</td>
<td>Address the actions that I am responsible for within the time frames agreed</td>
<td>September 2016</td>
<td>I identified that we have a deficiency with regard to the RRFSO (2005): we don’t have a fire risk assessment. I have produced this and emailed it to the director for comment.</td>
<td>7. The fire risk assessment I produced.</td>
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<td>8. Notes from research into types of fire door.</td>
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<td>9. Email to director with assessment attached.</td>
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<tr>
<td>5</td>
<td>Provide a full update on the status of the recommendations.</td>
<td>October 2016</td>
<td>The director has taken my audit findings to the quarterly Board meeting to get ‘buy in’ from the top. A health and safety update will now be on the agenda of all board meetings.</td>
<td>10. Minutes of board meeting at which the audit findings were discussed.</td>
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<td>11. Report showing the current status of highlighted actions. All policies have been reviewed or written and most have been approved.</td>
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</table>
2.3 Identifying or using management techniques to implement a health and safety policy

This criterion asks you to demonstrate how you’ve used management techniques to implement health and safety policies in an organisation. This should involve a whole policy, not just a policy statement of intent.

Management techniques are methods that you use in order to manage the process that you’re working on, in this case the implementation of policies, and can include a variety of methods.

Minimum activities: 6
Minimum evidence: 8

Areas to cover:
• where the policy came from (e.g. did your manager develop it? was it developed before you joined the organisation? did you develop it?)
• whether you were given any information as to how to implement it
• how you planned to implement it
• how you actually implemented it
• whether it worked and any shortcomings
• who you consulted with
• what feedback you got
• whether the policy is now fully embedded within the organisation
• what follow up processes you have in place

If you are covering this criterion you should cover all these areas, either in your background on your activity sheet, in your activities and evidence or in your reflective account.

Example activity sheet:

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<tr>
<th>Activity</th>
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<tbody>
<tr>
<td>1</td>
<td>Identify key people and how best to communicate the new policy to each role.</td>
<td>July 2016</td>
<td>Identified the key roles, i.e. Managers and Technicians and the best technique for communicating the changes and their implementation.</td>
<td>1. Short report I have produced</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Produce implementation plan</td>
<td>July 2016</td>
<td>Valuable experience in planning such an activity</td>
<td>2. Proposed implementation plan I produced</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Arrange meeting with departmental managers for briefing</td>
<td>August 2016</td>
<td>Communication with key role holders</td>
<td>3. Email to managers explaining reason for briefing and venue.</td>
<td></td>
</tr>
<tr>
<td>Activity</td>
<td>Description</td>
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<td>Outcome</td>
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<tr>
<td>4</td>
<td>Produce presentation for briefing to Managers</td>
<td>August 2016</td>
<td>Relevant and concise presentation pack produced</td>
<td>4. Presentation slides I produced.</td>
<td></td>
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</tbody>
</table>
| 5        | Review feedback from managers on proposed implementation process | September 2016 | Gained valuable feedback that enabled further development of an effective plan | 5. Summary of feedback  
6. Reviewed implementation plan. |        |
| 6        | Arrange staff briefings for other roles | September 2016 | Other staff included in process of implementation | 7. Emails showing briefings being arranged and members of staff being invited. |        |
| 7        | Amend presentation so it is relevant to the different roles. | September 2016 | Fine tuning of presentation materials for target audience | 8. Amended presentation for technicians |        |
| 8        | Carry out briefing and collect feedback | September 2016 | Other staff briefed to bring them on board | 9. Attendance list  
10. Summary of feedback from attendees |        |
| 9        | Review implementation process | October 2016 | Implementation process commenced, ongoing, and reviewed for effectiveness | 11. COSHH assessments completed by technicians using new process.  
12. Email to managers asking for feedback on how effective the implementation process was – emails from managers with feedback.  
13. Summary of feedback on implementation. |        |
2.4 Engaging individuals and groups in developing and implementing a health and safety policy

You need to demonstrate that you’ve engaged individuals and groups whilst developing and implementing positive health and safety policies. This should involve a whole policy, not just a policy statement of intent.

Minimum Activities: 5
Minimum evidence: 7

Key points:
- make sure you cover both individuals and groups
- you can use a health and safety policy, procedure or process that you’ve developed to cover this criterion
- try to use a different situation from the ones that you’ve used in other criteria

Areas to cover:
- which individuals you engaged with
- how you did this (e.g. by meetings, emails, presentations, memos)
- which groups you engaged with
- how you did this (e.g. by meetings, emails, presentations, memos)
- how these individuals or groups provided you with feedback
- what feedback you provided to these individuals or groups
- demonstrating your development and implementation of the policy
- how these individuals or groups helped you to implement your policy

Example activity sheet:

Outline and Background
On transferring from a sister company to my present employer, I discovered that no-one had really been tasked with providing health and safety advice for over four years. As a result, company documentation had either become outdated or irrelevant (or both). Amongst this, the company did not have an effective health and safety policy, as the one in the files was five years out of date and was deficient on several levels. I thus determined to develop and implement an effective policy to give direction to the company (as well as complying with legal requirements).

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<tbody>
<tr>
<td>1</td>
<td>Develop health and safety policy including organisation and arrangements.</td>
<td>August 2016</td>
<td>Policy developed and consultation on it carried out with my line manager</td>
<td>1. Copy of draft policy 2. Email to my Manager asking for comment 3. Manager’s reply with points to consider</td>
<td></td>
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<tr>
<td>2</td>
<td>Review draft policy in view of manager’s comments</td>
<td>August 2016</td>
<td>Policy reviewed to incorporate manager’s comments, thereby encouraging ownership</td>
<td>4. Copy of revised policy with changes shown</td>
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<td>Activity</td>
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<td>3</td>
<td>Consult staff about health and safety policy</td>
<td>September 2016</td>
<td>Consultation with staff on policy carried out to bring them on board</td>
<td>5. Agenda for safety committee; policy is provided and asking for feedback</td>
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<td>6. Feedback received from committee members</td>
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<td>4</td>
<td>Review draft policy in light of safety committee members’ comments</td>
<td>October 2016</td>
<td>Policy reviewed to incorporate changes suggested by committee, again encouraging ownership</td>
<td>7. Copy of revised draft policy with changes shown</td>
<td></td>
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<tr>
<td>5</td>
<td>Submit policy to the board for approval</td>
<td>October 2016</td>
<td>Finalised policy submitted for approval</td>
<td>8. Board meeting agenda showing that the policy is to be discussed</td>
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<td>9. Minutes of the meeting showing that it was discussed and approved</td>
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<tr>
<td>6</td>
<td>Communicate changes to staff.</td>
<td>October 2016</td>
<td>Consideration of implementation aspects</td>
<td>10. Notes from meeting with my manager about the best way to implement the policy and get staff buy-in</td>
<td></td>
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<td></td>
<td></td>
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<td></td>
<td>11. Record of briefing sessions with staff and managers on policy responsibilities</td>
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<tr>
<td>7</td>
<td>Implement policy</td>
<td>October 2016</td>
<td>Start made on implementing the various aspects of the new policy</td>
<td>12. Examples of completed new style accident reports as per the new policy</td>
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<td>13. Attendance lists at new briefing sessions I held as regards the new policy</td>
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2.5 Developing and implementing an occupational health system in an organisation

You need to demonstrate that you have identified the need for an occupational health system, including appropriate health surveillance, and have established such a system.

Minimum Activities: 5
Minimum evidence: 7

Areas to cover:
- Identify health risks within the organisation, and people affected
- Identify means of monitoring the effects of health risks including sourcing appropriate equipment and/or service providers
- Carry out relevant research and consult on initial proposals
- Establish the occupational health service, including specification of health surveillance
- Obtain suitably anonymised results from health surveillance and analyse these
- Report to senior management with appropriate recommendations

Example activity sheet

Outline and Background
I asked the HR department for statistics on sickness absence, as it appeared to me that this was increasing, and I wanted to confirm whether my impression was correct. As is often the case, my impression that there has been an increase in sickness absence due to stress wasn’t really borne out by the statistics. However, the statistics did show a slight but significant increase in sickness due to sprains and strains. I instigated a training programme on manual handling in response to this issue, but it also appeared to me that we were poor as an organisation in monitoring the health and welfare of employees, and some of the sickness absence could likely have been avoided if we had a system to pick up on developing health issues sooner. I determined therefore to investigate, develop and implement a health surveillance programme, and gained the support of my director to do this.

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<tbody>
<tr>
<td>1</td>
<td>Research into possible health risks associated with the work carried out by our employees, using both guidance and historical trends revealed by sickness absence statistics</td>
<td>May 2016</td>
<td>Better understanding of health risks within the company</td>
<td>1. HSE guidance on my industry sector, with my annotations&lt;br&gt;2. Spreadsheet of sickness absence statistics by cause of absence</td>
<td></td>
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<tr>
<td>2</td>
<td>Further research to identify what monitoring could be carried out to detect signs of employees’ health being affected</td>
<td>May 2016</td>
<td>Action list for a range of health issues for which monitoring could be carried out, but also concluded that general monitoring of employee health would also contribute to reducing absence</td>
<td>3. List of relevant health issues with methods of monitoring these&lt;br&gt;4. List of general health issues and types of monitoring&lt;br&gt;5. Report to my director setting out the results of my research and recommendations</td>
<td></td>
</tr>
<tr>
<td>Activity</td>
<td>Description</td>
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</table>
| 3        | Consult with line managers and HR on my proposals to get their input and insight | May 2016 | Valuable feedback from consultees, which prompted some fine tuning of my proposals | 6. Example of email trail with a line manager  
7. Email trail with the head of HR  
8. My revised proposal  
9. Email to my director and her response |                        |
| 4        | Investigation of options for provision of health surveillance, including a tender process for service provision | June 2016 | Reviewed proposals from service providers, and selected one that would meet our specifications | 10. Proposal from successful bidder (name removed)  
11. Report to my director and his go ahead to order this |                        |
| 5        | Receive anonymised results from first round of health surveillance and review and report on this | October 2016 | Information available for review purposes, and recommendations on the basis of this | 12. Report from service provider on first round of surveillance  
13. Report to my director with recommendations |                                                      |
Element 3 – Developing or implementing effective communication systems for health and safety information

3.1 Identifying, evaluating and using sources of health and safety information for dissemination internally and externally

This criterion asks you to demonstrate your ability to research, source and interpret information available to you from both inside and outside the organisation. This is an essential skill for all Chartered Safety and Health Practitioners.

Minimum activities: 4
Minimum evidence: 6

Key Point:
Ensure that you demonstrate that you obtain information, and disseminate it both internally and externally

Areas to cover:
- what external sources of information you use
- what you specifically use them for (e.g. statistics, legislative updates, policy development)
- what documents you’ve produced that demonstrate that you’ve used information from one of these sources to develop them
- what internal sources of performance measures you use (e.g. accident statistics, key performance indicators)
- who else receives this information
- which regulatory and external bodies you report health and safety information to (e.g. RIDDOR)
- what type of information they require and how often

Example activity sheet:

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<tr>
<th>Activity</th>
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</thead>
<tbody>
<tr>
<td>1</td>
<td>Identify external sources of health and safety information</td>
<td>September 2016</td>
<td>Identification of the external sources of information I have identified and what information I’ve extracted from which source</td>
<td>1. Table showing the sources and use, with an evaluation of their perceived value to the company</td>
<td></td>
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<tr>
<td>Activity</td>
<td>Description</td>
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| 2        | Use an external source of information to help develop a policy document on noise | October 2016     | Policy on relevant issue as a result of the use of information sources  | 2. HSE guidance on noise at work.  
3. My notes on a noise control policy with points sourced from the HSE guidance highlighted.  
4. Copy of completed draft of the noise control policy with points sourced from the HSE guidance highlighted. |
| 3        | Identify internal sources of performance measurement information             | September 2016   | Collation of information on internal performance measures              | 5. Table showing the internal performance measurement information I’ve identified, with details of who at which level of the organisation receives it.                                                      |
| 4        | Identify regulatory bodies that I report health and safety information to.    | September 2016   | Collation of information on information sent outside the organisation   | 6. Table showing the external bodies that I report health and safety information to, including what, how often and why it's reported.                                                                      |
3.2 Producing publications on health and safety

You need to demonstrate that you’ve produced publications designed to communicate health and safety information. Examples include posters, leaflets, booklets, handbooks, videos and presentations (discreet presentations, rather than complete training courses). Policy documents, risk assessments, procedures, health and safety plans or safe systems of work would not be considered publications in the context of this criterion. Documents may be produced on paper, or electronically and held on a computer system.

If you are a consultant, you may have produced such publications for a client as part of your services, and can apply this criterion accordingly.

Minimum Activities: 5
Minimum evidence: 7

There are two slightly different ways to cover this criterion (although you can use a mixture of both):
• Option 1 - by using items that you’ve developed in response to specific issues
• Option 2 - by using a regular publication that you produce, such as a newsletter

If you are taking option 1 then you should cover:
• how you identified the specific topics (e.g. through audit, accident data)
• how you identified your target audience
• how you decided what format to use for your communication
• who you consulted
• the publications themselves
• whether your campaign was successful, (did you have any feedback?)
• what you’ve learnt from this campaign
• what plans you have to follow up these publications
• how you plan to keep this information up to date

For option 2 you should cover:
• whether you were instrumental in establishing the newsletter
• exactly what role you play in its publication
• how often it’s published
• who is consulted about it
• whether special editions are produced as part of a campaign
• who receives the newsletter
• examples of the newsletters themselves
• whether there are different versions for different areas of the organisation
• whether you have any ideas for new features in future editions
• how the newsletter is received (do you have any feedback?)
• whether employees can have some input into the newsletter

In both cases you should aim to submit at least **two** examples of publications that you have had a major input into. If you have had a small amount of input in a majority of the publications you should submit at least **four** examples. The points to cover above should be addressed between your activity sheet background, your activities and evidence, and your reflective account, as appropriate.
Example activity sheet:

Outline and background
I identified that there is a need to increase awareness of specific health and safety issues within the organisation, very little having been done to disseminate information prior to my taking up post. However, I am keen to ensure that such information should be relevant, and so needs to be focused on live/ongoing issues within the organisation in order to capture people’s attention.

<table>
<thead>
<tr>
<th>Activity</th>
<th>Description</th>
<th>Dates</th>
<th>Outcome</th>
<th>Evidence</th>
<th>Upload</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Examine accident data to identify any trends/ongoing problem areas</td>
<td>May 2016</td>
<td>Analysis identified the two most significant areas as manual handling and slips/trips, as causes of injury</td>
<td>1. Accident data in the form of graphs and charts, with most affected parts of the organisation highlighted</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Meet with managers and staff in affected areas</td>
<td>June 2016</td>
<td>Obtained views on problems and how best to provide information</td>
<td>2. My handwritten notes of the meetings</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Produce and distribute briefing on manual handling</td>
<td>July 2016</td>
<td>Briefing note on manual handling provided to most affected departments</td>
<td>3. My manual handling briefing note</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Produced and distribute slips and trips briefing note</td>
<td>August 2016</td>
<td>Briefing note on slips and trips provided to most affected departments</td>
<td>5. My slips and trips briefing note</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Obtain feedback on the information provided</td>
<td>August 2016</td>
<td>Requested, and received, feedback from departmental managers on the usefulness of the briefing notes</td>
<td>7. Email requesting feedback on briefing notes</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Ongoing monitoring of trends as a result of information provided</td>
<td>October 2016</td>
<td>Analyse latest data on these two areas</td>
<td>9. Updated accident data from all parts of the organisation affected</td>
<td></td>
</tr>
</tbody>
</table>
3.3 Developing and implementing communication systems between different areas of your organisation or client

You must demonstrate that you’ve developed and implemented communication systems between different areas of your organisation, or that of your client.

There are several ways of covering this. One primary way is by developing or implementing safety committees and appointing safety reps. But if you can provide an example of a different situation where you’ve been involved in developing communication between different areas of your organisation, or your client’s organisation if you are a consultant, then you can use this.

Minimum activities: 6
Minimum evidence: 8

Key Points:
• You must demonstrate that there’s a two way flow of communication – this isn’t about simply cascading information to staff
• The route of communication you use should be ongoing, not temporary

Option 1 – health and safety committees
Areas to cover:
• identify a health and safety representative within each area
• make sure health and safety representatives are aware of their role and responsibilities
• set up a safety committee – identify members
• arrange safety committee meetings
• circulate minutes of meetings, including action points
• demonstrate that you’ve consulted the safety committee on matters which affect employees’ health and safety

Option 2 – other forms of communication systems
Areas to cover:
• identify the need for a communication system
• identify the people who need to be involved in this system
• research and consult on a suitable system
• demonstrate the communication system arrived at
• demonstrate the operation of the communication system
• review the system and make any necessary changes
Option 1 example activity sheet:

Outline and Background
As my company grew in size, it was becoming increasingly hard to consult individually with people, and attempting to do so was taking an inordinate amount of my time. By the Autumn of last year, with the run up to the busy Christmas period starting, the issue was reaching a crisis level, and employees were beginning to complain that they had not been consulted or informed of some health and safety issues affecting them. It was therefore decided that steps needed to be taken to instigate a health and safety committee to improve the consistency of consultation whilst making best use of my time.

<table>
<thead>
<tr>
<th>Activity</th>
<th>Description</th>
<th>Dates</th>
<th>Outcome</th>
<th>Evidence</th>
<th>Upload</th>
</tr>
</thead>
</table>
| 1        | Identify a safety representative within each area     | May 2016| Safety reps identified for all areas to provide sufficient representation of staff | 1. Organisation chart to identify areas.  
2. List of managers for each area  
3. Email to managers asking them to identify a safety representative in their area and to let me know who they are. |        |
| 2        | Arrange a meeting for safety representatives to make sure they're aware of their role | May 2016| All safety reps brought up to speed on their roles and responsibilities to enable them to function effectively | 4. Email to safety representatives asking them to come to a presentation  
5. My presentation to them explaining their role and rights  
6. List of attendees at the presentation |        |
| 3        | Identify members of a safety committee                | May 2016| Management kept in the loop to enable them to contribute to safety committee | 7. Email to my manager for comment, listing the people who have been appointed to the safety committee and their roles |        |
| 4        | Arrange safety committee                              | June 2016| Safety committee initiated and functioning                                | 8. Email to members of the safety committee  
9. Agenda for the first meeting, |        |
<table>
<thead>
<tr>
<th>Activity</th>
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<th>Outcome</th>
<th>Evidence</th>
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</tr>
</thead>
<tbody>
<tr>
<td>5</td>
<td>Circulate minutes of the meeting</td>
<td>July 2016</td>
<td>Results of meetings circulated to all interested parties including noticeboards</td>
<td>10. Email to all committee members attaching the minutes and an action list</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Demonstrate consultation on matters affecting the health and safety of staff</td>
<td>July 2016</td>
<td>Consultative role of committee working effectively, staff involved in policy formulation</td>
<td>11. Feedback from committee members on the smoking policy. &lt;br&gt; 12. Email to safety representatives asking for feedback on the smoking policy.</td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>Demonstrate the ongoing nature of the committee</td>
<td>October 2016</td>
<td>Next meeting of the committee held and documented</td>
<td>13. Minutes of the second meeting of the committee</td>
<td></td>
</tr>
</tbody>
</table>

**Option 2 example activity sheet**

**Outline and Background**

As a result of some minor incidents, it became apparent that there was very little communication between safety advisors in the various parts of the company. Advisors tended to operate autonomously and apart from missed opportunities to share best practice, we seemed to be regularly re-inventing the wheel on safety issues. I therefore decided that we needed some form of communication/consultation forum to link advisors together, which would operate regularly and act as an information exchange.

<table>
<thead>
<tr>
<th>Activity</th>
<th>Description</th>
<th>Dates</th>
<th>Outcome</th>
<th>Evidence</th>
<th>Upload</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Identify the need for a communication forum</td>
<td>September 2015</td>
<td>Nature of the problem highlighted</td>
<td>1. Email trail discussing an issue that arose &lt;br&gt; 2. Email trail on another issue &lt;br&gt; 3. My notes on the matter</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Identify who will need to be involved</td>
<td>September 2015</td>
<td>A list of intended participants in the forum, and contact details</td>
<td>4. My notes on the required participants &lt;br&gt; 5. Register of relevant people with full details</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Consult with intended participants as to the best way of proceeding</td>
<td>September 2015</td>
<td>There was a unanimous view that face to face meetings at a central location would be best to encourage and support one another</td>
<td>6. Email trail on the way to proceed &lt;br&gt; 7. My notes collating responses</td>
<td></td>
</tr>
<tr>
<td>Activity</td>
<td>Description</td>
<td>Dates</td>
<td>Outcome</td>
<td>Evidence</td>
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</tr>
<tr>
<td>4</td>
<td>Carry out basic research to determine the best remit and agenda for the forum</td>
<td>October 2015</td>
<td>Determined the best format for the meetings, and got feedback on this</td>
<td>8. Summary of guidance obtained with my annotations</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>9. Email trail eliciting feedback</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Issue document setting out the forum format and rules</td>
<td>October 2015</td>
<td>All participants up to speed on the forum</td>
<td>10. Forum document</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>11. Email setting out meeting dates and location</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Demonstrate the operation of the forum</td>
<td>November 2015 to February 2016</td>
<td>Forum established and operational</td>
<td>12. Minutes of first meeting</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>13. Minutes of second meeting</td>
<td></td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td>14. Report on, and review of, the forum</td>
<td></td>
</tr>
</tbody>
</table>
3.4 Developing or implementing effective communication with contractors

You need to demonstrate that you’ve effectively communicated with contractors about health and safety requirements.

Minimum activities: 5
Minimum evidence: 8

Areas to cover:
- identify the contractors used by your organisation
- identify what tasks they’re carrying out or could be called in to carry out
- demonstrate that you’ve communicated with them to establish their health and safety credentials and information/systems
- demonstrate that you’ve told them about your health and safety requirements
- if you’re in a shared building, demonstrate that you’ve communicated with other occupants who may be affected by your contractors’ work
- demonstrate that you’ve created a plan or can create one that will incorporate both parties requirements
- demonstrate that the relevant plans are followed and monitored on site

Example activity sheet:

<table>
<thead>
<tr>
<th>Activity</th>
<th>Description</th>
<th>Dates</th>
<th>Outcome</th>
<th>Evidence</th>
<th>Upload</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Identify contractors who are on site and what they’re doing</td>
<td>August 2016</td>
<td>Collation of information on current contractors to facilitate control</td>
<td>1. Table showing all the contractors on site, what they’re currently doing, how long their work is expected to take and their main contact details.</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Demonstrate communication with contractors to ascertain their health and safety requirements</td>
<td>August to September 2016</td>
<td>Collection of information from contractors to enable judgments to be made on their suitability for the work</td>
<td>2. Two examples of emails to contractors asking for their method statements and risk assessments for their proposed work. 3. Method statements and risk assessments provided as requested (with company names removed)</td>
<td></td>
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</tbody>
</table>

Outline and Background
My company contracts out many activities, so I am quite used to setting up and controlling such contracts from a health and safety perspective. I will use this criterion submission to demonstrate two very different examples of communicating with contractors.
<table>
<thead>
<tr>
<th>Activity</th>
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<th>Outcome</th>
<th>Evidence</th>
<th>Upload</th>
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</thead>
<tbody>
<tr>
<td>3</td>
<td>Demonstrate that the contractors are aware of our health and safety requirements</td>
<td>August to September 2016</td>
<td>Initial phase of setting standards for contractors whilst on site</td>
<td>4. Emails to contractors discussing access to the site, the best times for them to do their work and our risk assessments for them completing the task required in the relevant area.</td>
<td></td>
</tr>
</tbody>
</table>
| 4        | Create a plan to make sure that everyone’s health and safety requirements are catered for | September 2016 | Plan set to enable work to be carried out in a safe manner | 5. Emails to a contractor discussing the best way to carry out their work  
6. Summary of the discussion and conclusion on this, which is then emailed to the contractor as the plan for the work. |        |
| 5        | Demonstrate that the plan is used on site | October 2016 | Confirmation that the plan is followed and work is carried out in a safe manner | 7. Copy of a hot works permit that was authorised for this task.  
8. Details of night-time security provided for the duration of this job.  
9. Signed-off job sheet, showing that the task was completed to the standard required and as the plan required.  
10. Email to my manager explaining that the task went as planned and met all safety requirements |        |
3.5 Contributing to legal actions

You need to demonstrate that you have provided assistance and advice to an organisation on either criminal prosecutions or enforcement action, or on civil claims. In the case of criminal prosecutions or enforcement action, this criterion could also be addressed by candidates working for enforcement bodies initiating such prosecutions or enforcement action.

Minimum activities: 4
Minimum evidence: 6

Two options; Criminal or civil actions/liabilities

Option 1: Criminal prosecution or enforcement action by the enforcing authority

Areas to cover:
- Provide response and support for any criminal/enforcement action against the organisation
- Advise relevant stakeholders of action required in response to criminal/enforcement action
- Advise on the nature and extent of criminal liability
- Prepare a briefing/report for relevant people including legal agents

Option 2: Civil actions or liabilities

Areas to cover:
- Provide response and support for a civil action against the organisation
- Ensure or assist in collating relevant information
- Review loss event reports or other relevant documentation to report on civil liability
- Advise the claimant or defendant as appropriate of the nature and extent of civil liability
- Ensure that the civil claims process is carried out within the specified procedures and timescales

Example activity sheet (Option 1):

Outline and Background
As a result of a RIDDOR reportable accident where an operative at my organisation was injured whilst using a lathe, the HSE investigated and unfortunately decided to proceed with a prosecution having identified several serious issues involving risk assessment, supervision and guarding. The safety advisor for that part of the business had been on sick leave for some months, and I was asked to step in to advise and support the management on this issue.

<table>
<thead>
<tr>
<th>Activity</th>
<th>Description</th>
<th>Dates</th>
<th>Outcome</th>
<th>Evidence</th>
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</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Notification of the incident and the HSE’s intention to prosecute</td>
<td>September 2016</td>
<td>I was able to get information on the sequence of events from the incident to the HSE visit</td>
<td>1. Confidential report from the responsible director 2. Follow up email; request for my involvement</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Compile relevant information on the incident and HSE prosecution notice</td>
<td>September 2016</td>
<td>I was able to assemble all the relevant information and timeline</td>
<td>3. Document detailing the sequence of events 4. My notes of a meeting with the responsible director</td>
<td></td>
</tr>
<tr>
<td>Activity</td>
<td>Description</td>
<td>Dates</td>
<td>Outcome</td>
<td>Evidence</td>
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</tr>
<tr>
<td>3</td>
<td>Provide advice to the responsible director on immediate action required</td>
<td>September 2016</td>
<td>I was able to compile an initial report for the responsible director</td>
<td>5. Document on the research I did</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>6. My initial report</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Research legal situation and nature and extent of legal liability</td>
<td>October 2016</td>
<td>Refreshed and improved my knowledge of legal duties and process</td>
<td>7. My notes on my research</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Produce a briefing report for the director, and one for our legal representatives</td>
<td>November 2016</td>
<td>I was able to provide detailed advice on the prosecution, duties and possible defences</td>
<td>8. Confirmation of receipt of my report from the director (cannot include the report due to legal privilege)</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>9. Confirmation of receipt of my report from our legal representatives (same restriction as above)</td>
<td></td>
</tr>
</tbody>
</table>
Element 4 – Assessing the health and safety risks of an organisation

4.1 Evaluating risk assessment methodologies

You need to demonstrate your knowledge and understanding of the various hazards in your workplace and the different ways of identifying and assessing them. Consultants could apply this criterion to a client organisation they have sufficient knowledge and understanding of.

Initially you’ll need to identify work activities or processes in your organisation on which risk assessment is carried out. You could present this in a table showing the work activity or process and the method of risk assessment that is used. Such a tabular format could be expanded to incorporate many, but not all, of the guidance points below.

Minimum activities: 4
Minimum evidence: 6

Areas to cover:
- why you use these methods of risk assessment on these work activities or processes
- what other options there are
- what the pros and cons (or advantages and pitfalls) of these methods are
- if there are any legislative, guidance or best practice reasons for carrying out risk assessment or using any specific methods
- if you have recommended that risk assessment be carried out on specific activities
- what your reasoning behind this was
- if you have recommended that a specific method already in use be carried out in a different way
- why you made these changes

Example activity sheet:

<table>
<thead>
<tr>
<th>Activity</th>
<th>Description</th>
<th>Dates</th>
<th>Outcome</th>
<th>Evidence</th>
<th>Upload</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Identify work activities that hazard identification is currently used on.</td>
<td>September 2016</td>
<td>Collation of information on work activities and hazards, increasing understanding of these</td>
<td>1. Table showing work activities, the methods of hazard identification used and their frequency</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Explain why these particular hazard identification methods are used on the specific tasks mentioned.</td>
<td>September 2016</td>
<td>Analysis of identification techniques, providing an opportunity to evaluate these for effectiveness</td>
<td>2. A short report I produced explaining why we use particular hazard identification methods for particular tasks including explanation of legal requirements.</td>
<td></td>
</tr>
<tr>
<td>Activity</td>
<td>Description</td>
<td>Dates</td>
<td>Outcome</td>
<td>Evidence</td>
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<td>--------</td>
</tr>
<tr>
<td>3</td>
<td>Provide an example in which I’ve recommended that hazard identification be carried out.</td>
<td>September 2016</td>
<td>Identification of an issue that had not so far been addressed</td>
<td>3. Email to the head of the art department explaining that Coshh assessments need to be carried out on all substances used in the sculpture and pottery department.</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Carry out Coshh assessments</td>
<td>October 2016</td>
<td>Increasing legal compliance and addressing an area of risk to avoid ill health</td>
<td>4. Coshh assessments I’ve completed</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
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<td></td>
<td>5. A hazardous substance register</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>6. Guidance notes for members of staff in the department on what to do if a new product is brought into the department.</td>
<td></td>
</tr>
</tbody>
</table>
4.2 Carrying out risk assessment activities

This performance criterion follows on from 4.1 although it isn’t essential to do 4.1 if you intend to cover this one. If you’re completing both, you may notice a small amount of overlap between them, depending on the evidence you produced for 4.1.

In order to cover this criterion you need to actually carry out a range of risk assessment processes and produce suitable documentation.

Minimum activities: 5
Minimum evidence: 7

Key Points: risk assessment processes that can be used:

You need to undertake a general risk assessment, and use at least two other different risk assessment techniques. Some examples of techniques you could use are:

- General risk assessment of a task/process/location
- Specific risk assessments e.g.
  - Manual handling assessment
  - COSHH assessment
  - DSE assessment
  - Fire risk assessment
- Fault Tree Analysis
- Event Tree Analysis
- HAZOPs
- HTA
- FMEA

Areas to cover:
- identify the work activities that you’re going to assess and provide some information on what exactly they involve.
- identify the risk assessment methods that you’re going to use on each work activity.
- carry out the proposed risk assessments. Remember that if you don’t normally do this as part of your job, this doesn’t mean you don’t need to do this step. Ask the person who normally does this whether they’d mind if you did a couple of assessments– it’s unlikely there’ll be a problem!
- produce the necessary documentation, including control methods and recommendations where applicable.

Example activity sheet:

<table>
<thead>
<tr>
<th>Activity</th>
<th>Description</th>
<th>Dates</th>
<th>Outcome</th>
<th>Evidence</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Identify work activities to be used and risk assessment processes for the proposed activities.</td>
<td>September 2016</td>
<td>Identification of work activities for assessment, increasing understanding of inherent hazards</td>
<td>1. Details of the chosen work activities with background information to explain what they involve and what risk assessment processes are currently used.</td>
</tr>
<tr>
<td>Activity</td>
<td>Description</td>
<td>Dates</td>
<td>Outcome</td>
<td>Evidence</td>
</tr>
<tr>
<td>----------</td>
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<td>----------------------------------------------------------------------------------------------</td>
<td>--------------------------------------------------------------------------</td>
</tr>
<tr>
<td>2</td>
<td>Carry out risk assessment on hairdressing department.</td>
<td>September 2016</td>
<td>Identification of hazards in ‘low risk’ environment</td>
<td>2. Risk assessment I carried out, including recommendations.</td>
</tr>
<tr>
<td>3</td>
<td>Carry out manual handling assessment on brickwork department.</td>
<td>October 2016</td>
<td>Gained further insights into a department and its work</td>
<td>3. Manual handling assessment I carried out, including recommendations.</td>
</tr>
<tr>
<td>4</td>
<td>Carry out COSHH assessments in pottery department.</td>
<td>October 2016</td>
<td>Identified several areas of concern for action</td>
<td>4. COSHH assessments I carried out, including recommendations.</td>
</tr>
<tr>
<td>5</td>
<td>Carry out Event Tree Analysis on possible gas release from Gas Safe assessment area.</td>
<td>October 2016</td>
<td>Opportunity to increase experience in using an assessment tool</td>
<td>5. ETA I carried out, including a report and recommendations.</td>
</tr>
<tr>
<td>6</td>
<td>Summarise findings of assessments to provide action plan</td>
<td>November 2016</td>
<td>Collation of findings and recommendations, action plan to focus efforts</td>
<td>6. Summary report on findings and recommendations</td>
</tr>
</tbody>
</table>
4.3 Applying tools and techniques for measurement or investigation

You need to demonstrate that you’ve used tools or techniques to measure or analyse risks.

Minimum activities: 8
Minimum evidence: 10

Key Points: examples of tools you could use:
- Sound level meter
- Radiometer
- Anemometer
- Smoke tubes
- Gas monitors
- Personal samplers
- Dust lamps
- Temperature meter
- Light meter
- Vibration meter (not automatic types)
- Humidity measurement tool

Key Points: examples of techniques you could use:
- Task analysis
- Fault Tree Analysis (FTA)
- Event Tree Analysis (ETA)

Areas to cover:
- identify the specific risk - this can be through accident reports, audit findings, inspections, risk assessment etc
- explain which tools or techniques you’re going to use – you, not a third party, must use them
- demonstrate you’ve carried out the technique or used the tools
- provide feedback, such as a report with recommendations
- communicate your feedback to your manager, director or board for consideration

You will need to cover these areas for two examples, which needs to consist of either two tools, or one tool and one technique

Example activity sheet (one example only shown):

<table>
<thead>
<tr>
<th>Activity</th>
<th>Description</th>
<th>Dates</th>
<th>Outcome</th>
<th>Evidence</th>
<th>Upload</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Identify risk</td>
<td>February 2016</td>
<td>Audit report I’ve produced showing that the levels of lighting in the new staffroom are a concern - members of staff have been complaining of headaches and eyestrain.</td>
<td>1. Audit report</td>
<td></td>
</tr>
<tr>
<td>Activity</td>
<td>Description</td>
<td>Dates</td>
<td>Outcome</td>
<td>Evidence</td>
<td>Upload</td>
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</tr>
<tr>
<td>2</td>
<td>Plan collection of data using a light meter</td>
<td>February 2016</td>
<td>Report showing where the planned readings are to be taken and at what times of the day, with and without the lights on. Consultation with staff to establish the kinds of work carried out in the area.</td>
<td>2. Report on planned readings 3. Details of planned consultation</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Carry out readings using a RS-105 Light Meter</td>
<td>March 2016</td>
<td>Light level readings taken in areas to assess the extent of the problem</td>
<td>4. Plan of staff room marked with points where readings were taken, with a table of readings. 5. Notes from meetings with members of staff</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Summarise findings</td>
<td>March 2016</td>
<td>Collation of findings to enable recommendations to be made following suitable research and comparison of results</td>
<td>6. Report showing the readings and descriptions of the activities carried out in each area. 7. Details of requirements that I have researched and recommendations for measures needed to bring the lighting up to the required level.</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Communicate findings to my director for allocation of resources</td>
<td>March 2016</td>
<td>Communication of findings to enable action to be initiated</td>
<td>8. Email to my director explaining what I’ve done and attaching the report.</td>
<td></td>
</tr>
</tbody>
</table>
4.4 Identifying actual and potential loss events and making recommendations

This criterion involves identifying loss events in your organisation and your industry (or that of your client if you are a consultant). You need to identify examples of loss events, relevant standards, and carry out comparisons and benchmarking of performance. Loss events can include accidents resulting in injury or property damage, or even near misses where there was a demonstrable loss/cost to the organisation. These must be health and safety related incidents; environmental incidents would not be acceptable.

Minimum activities: 4  
Minimum evidence: 6

Areas to cover:
- identify loss events in your organisation/client and expand on two specific events relating to one identified hazard
- identify industry standards as a whole and examples of loss events from the industry for the hazard identified
- compare your/your client organisation’s loss events with the industry standard
- benchmark your organisation/client against industry performance on such loss events
- summarise the findings of your comparison, including a review of guidance for the identified hazard
- make recommendations for improvements to address the identified hazard
- make sure relevant employees are aware of your findings and proposed recommendations

Example activity sheet:

<table>
<thead>
<tr>
<th>Activity</th>
<th>Description</th>
<th>Dates</th>
<th>Outcome</th>
<th>Evidence</th>
<th>Upload</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Identify loss events in the organisation.</td>
<td>September 2016</td>
<td>Collation and analysis of loss events in the organisation, enabling trends to be identified, and a relevant issue (forklift truck incidents) to be identified and highlighted</td>
<td>1. Copy of my spreadsheet showing loss event details.</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>2. Table showing loss event data I’ve put together for the organisation (extract from larger report I produced)</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3. Table showing trends of loss events and highlighting 2 specific events involving forklift trucks (extract from larger report I produced)</td>
<td></td>
</tr>
<tr>
<td>Activity</td>
<td>Description</td>
<td>Dates</td>
<td>Outcome</td>
<td>Evidence</td>
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</tr>
</tbody>
</table>
| 2        | Identify industry standards                                                 | September 2016 | Practised research skills and familiarised myself with industry data to enable comparisons with my organisation to be made | 4. Notes from my research into the industry standard.  
5. Extract from a report I produced summarising industry loss event data and specifically forklift truck events |
| 3        | Comparison between the industry standard and the organisation               | September 2016 | Benchmarking of our performance regarding incidents involving forklift trucks to evaluate how well, or not, we are controlling this risk | 6. Extract from a report I produced showing our current level of loss events against the industry standard.  
7. Further extract showing the industry standard for loss events involving forklift trucks and our current situation. |
| 4        | Summarise findings and make recommendations                                 | October 2016   | Identification of actions needed to improve the current situation to reduce risk                  | 8. Summary from report I produced including recommendations for working with a forklift truck. |
| 5        | Communicate findings to relevant employees                                  | October 2016   | Dissemination of findings and recommendations up and down the organisation to ensure buy-in at all levels | 9. Email to my manager for comment, attaching report.  
10. Reply from my manager  
11. Minutes from the board meeting showing that my report was considered.  
12. Newsflash I produced to go to all employees highlighting the findings of my research and the changes that will be implemented |
4.5 Assessing human factors and addressing behavioural safety

You need to demonstrate that human factors and associated behavioural safety issues have been considered as part of risk assessment and task design.

Minimum activities: 4
Minimum evidence: 6

Areas to cover:
- where human factors/behavioural safety have led to risks or consequences that weren’t considered in the initial assessment and planning of the task or process
- what the human factors were
- how you addressed these
- developing a behavioural safety programme, including setting objectives
- implementing a behavioural safety programme
- monitoring the outcomes from the programme, including the achievement of objectives

Key Points: Examples of evidence:
- risk assessments showing the original risks and the new risks when the human factors become apparent
- accident reports showing human factors as a cause of the risk which ultimately led to the loss event
- emails, memos and reports showing you’ve identified the human factors involved
- recommendations you’ve made to consider human factors in the assessment and planning of tasks
- development and implementation of a behavioural safety programme to address the human factors identified

Example activity sheet:

Outline and Background
I identified a developing trend of accidents involving falls at my company. Corrective measures as a result of investigations had essentially focused on practical precautions relevant to each incident. However, I analysed all of the accidents to see if there were any common elements we could address, and identified several human factors that were involved in most of them. This was therefore an issue for me to address.

<table>
<thead>
<tr>
<th>Activity</th>
<th>Description</th>
<th>Dates</th>
<th>Outcome</th>
<th>Evidence</th>
<th>Upload</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Identify human factors in an accident involving a fall from height</td>
<td>April 2016</td>
<td>Amongst the causes of the accident, human factors were evident and were identified</td>
<td>1. Accident investigation report with possible human factors highlighted</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Review risk assessment for task being carried out</td>
<td>April 2016</td>
<td>Examination of the risk assessment revealed that the human failure identified in the investigation had not been foreseen</td>
<td>2. Existing risk assessment with my annotated notes</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3. Revised risk assessment</td>
<td></td>
</tr>
<tr>
<td>Activity</td>
<td>Description</td>
<td>Dates</td>
<td>Outcome</td>
<td>Evidence</td>
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</tr>
<tr>
<td>3</td>
<td>Analysis of the human failure involved to pinpoint cause</td>
<td>April 2016</td>
<td>Review of the accident and of HSG 48 enabled the human factors involved to be pinpointed</td>
<td>4. Report into the accident analysing the human factors, and making recommendations</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>5. Email to my director, attaching the report for comment</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>6. Reply from director, approving report and proposed action</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Develop behavioural safety programme to address anticipated human factors</td>
<td>May 2016</td>
<td>Programme of training and interventions developed</td>
<td>7. Summary of programme developed, with targets for implementation</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Implement the programme</td>
<td>June 2016</td>
<td>Initial training of staff carried out and supervisor interventions started</td>
<td>8. Training presentation</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>9. Example attendance list</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>10. Example of report from supervisor of interventions carried out</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Review initial phases of implementation of the programme</td>
<td>August 2016</td>
<td>Results analysed and recommendations for further improvement made</td>
<td>11. My review report</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>12. Email of report to director</td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>Instigate ongoing monitoring programme to confirm continued effectiveness of interventions</td>
<td>November 2016</td>
<td>Record and maintain monitoring results</td>
<td>13. Provide an example of a report to my director</td>
<td></td>
</tr>
</tbody>
</table>
4.6 Developing or implementing a risk assessment and control strategy

If you’ve had a role in which you’ve set up or implemented a risk assessment and control process, details of this will cover this criterion.

If you feel you’ll struggle to demonstrate how you’ve both developed and implemented a risk assessment and control strategy, there’s the option to cover one or the other, i.e. how you developed a risk assessment and control strategy or how you implemented one.

Minimum activities: 6
Minimum evidence: 8

If you are covering the development only you should cover:
- how you identified the scope of the strategy
- what arrangements you proposed and what they are based on
- who you consulted to put together your proposal
- any training that might be required
- if you designed any forms for record keeping
- whether you have a process for highlighting any shortcomings in the process
- whether there is a process for review and archiving

If you are only covering the implementation you should cover:
- who you consulted with
- which methods you used for implementation
- how you identified the key personnel
- how you will monitor how implementation is progressing
- if you have any follow up processes planned
- what training (if any) you needed to organise

If you are covering both development and implementation, you should address the points from each list. You’ll find that there’s a degree of overlap between the information provided for the two aspects. If you can cover the implementation and only a little of the development then you should ensure you do include what you can of the development.

Example activity sheet (development only):

<table>
<thead>
<tr>
<th>Activity</th>
<th>Description</th>
<th>Dates</th>
<th>Outcome</th>
<th>Evidence</th>
<th>Upload</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Carry out review of activities and risk assessments in the organisation</td>
<td>January 2016</td>
<td>Analysis of current situation enabled a strategy to be developed as to future assessment needs</td>
<td>1. Report on review I produced of current situation, with recommendations</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Distribute report for comment</td>
<td>January 2016</td>
<td>Report disseminated to managers for feedback</td>
<td>2. Emails to managers requesting comment, report attached</td>
<td></td>
</tr>
<tr>
<td>Activity</td>
<td>Description</td>
<td>Dates</td>
<td>Outcome</td>
<td>Evidence</td>
<td>Upload</td>
</tr>
<tr>
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</tr>
<tr>
<td>3</td>
<td>Revise proposals in light of feedback</td>
<td>February 2016</td>
<td>Finalised strategy, detailing assessments required</td>
<td>3. Strategy I produced, as issued as final 4. My recommendations for training for assessors and assessment recipients</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Make arrangements for implementation</td>
<td>February 2016</td>
<td>Collate plans for training, documentation</td>
<td>5. Training plan 6. Assessment forms</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Write procedure, including corrective action process</td>
<td>February 2016</td>
<td>Policy and procedure written and issued</td>
<td>7. Policy/procedure document I wrote</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Incorporate documentation into formal document process</td>
<td>March 2016</td>
<td>Policy and procedure, and associated forms, now subject to formal review and archiving processes</td>
<td>8. Screen shots of documentation system showing relevant documents included</td>
<td></td>
</tr>
</tbody>
</table>
Element 5 – Managing the health and safety risks of an organisation

5.1 Developing and applying safe systems of work

This criterion asks you to demonstrate that you've identified the need for a safe system of work (SSoW) and have gone on to develop and implement one. This must be a task-specific SSoW – not a risk assessment, policy, plan or general guidance.

Minimum activities: 5
Minimum evidence: 7

Areas to cover:
- explain how you established that a SSoW was needed
- demonstrate how you used task analysis to develop the SSoW
- identify resource and other practical implications
- explain how you involved others in the process
- demonstrate the development of the SSoW
- outline how you ensured effective implementation, including:
  - training
  - staff briefing
  - competence
- demonstrate how you'll monitor the effectiveness of the SSoW

Example activity sheet:

<table>
<thead>
<tr>
<th>Activity</th>
<th>Description</th>
<th>Dates</th>
<th>Outcome</th>
<th>Evidence</th>
<th>Upload</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Identify the need for a SSoW</td>
<td>August 2016</td>
<td>Analysis of trends and identification of an activity not adequately documented in terms of a system of working to control risks</td>
<td>1. Accident reports showing the same accident occurring on three occasions at the same sanding machine 2. Email to head of department highlighting this and recommending the development of a SSoW</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Complete task analysis for using sanding machine</td>
<td>September 2016</td>
<td>Desk top exercise to analyse the nature of the task</td>
<td>3. Task analysis that I completed on using the sanding machine.</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Meeting with operatives to discuss the tasks they carry out on the sanding machine</td>
<td>September 2016</td>
<td>Consultation and involvement of staff to identify tasks and hazards</td>
<td>4. Meeting request and details of what it's about. 5. My notes on comments from operatives during the meeting.</td>
<td></td>
</tr>
<tr>
<td>Activity</td>
<td>Description</td>
<td>Dates</td>
<td>Outcome</td>
<td>Evidence</td>
<td>Upload</td>
</tr>
<tr>
<td>----------</td>
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</tr>
<tr>
<td>4</td>
<td>Develop draft SSOW</td>
<td>September 2016</td>
<td>Collation of information and arriving at system of work to satisfy both process and safety demands</td>
<td>6. Draft SSOW that I’ve developed, including resource requirements, document templates and monitoring procedures.</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Get manager’s approval for process</td>
<td>October 2016</td>
<td>Got buy-in and approval from management for system of work</td>
<td>7. Email to my manager explaining what I’ve found and describing my proposed SSOW implementation. 8. Email from my manager approving this</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Implement SSoW with ongoing monitoring of effectiveness</td>
<td>November 2016</td>
<td>Instruction of relevant operatives and start of equipment checks. User feedback and SSOW revision if required</td>
<td>9. Record of briefing session with operatives 10. Examples of equipment checks 11. First monthly report on the operation of the SSoW</td>
<td></td>
</tr>
</tbody>
</table>
5.2 Developing or implementing health and safety active monitoring systems, including gathering and analysing the appropriate data

You need to review current active monitoring systems, and then either make recommendations for improvement or alternatives, or implement alternative active monitoring techniques. Capturing appropriate data and analysis will be part of these processes.

Minimum activities: 4
Minimum evidence: 6

As with other criteria, you can cover this from two angles - either developing or implementing health and safety active monitoring systems. If possible, it’s best to cover as much of each as you can as this will result in a stronger submission.

For the development of health and safety active monitoring systems, you should cover:
- identifying the active monitoring systems that are currently in place.
- explaining your recommendations and the reasoning behind them, which can be supported by data showing the shortfalls of the current system or details of best practice and benchmarking against other organisations in your industry.
- demonstrating that you’ve developed appropriate documents
- demonstrating that you’ve looked at how to implement your recommendations, including identifying key roles, what knowledge is required and likely training requirements

For the implementation of health and safety active monitoring systems, you should cover:
- identifying the changes that have been given to you to implement and any background information about why the changes are being made.
- demonstrating how you plan to implement the changes, including involvement of key people, timetables and training requirements.
- demonstrating the phases of the implementation, including communication with staff, training and so on, and providing feedback about how each step went.
- once implementation is complete, produce a report explaining how the implementation went as a whole, what lessons were learned, whether everything went as planned and whether all steps been covered
- providing details of proposed reviews of the system and how these will carried out and by whom, and identifying what data will be used to check that the process is working as proposed.

In both cases, you need to gather and analyse appropriate data. In the development option, it may be easier to do this when looking at what’s currently in place to identify any shortfall in the process, although you’ll need to cover how you expect the data to change after the proposed changes. In the implementation option, the data analysis will flow nicely on from implementation as a way of checking that the new process is working as expected; you may still need data from the initial process in order to make a comparison.

Example activity sheet (development only shown):

<table>
<thead>
<tr>
<th>Activity</th>
<th>Description</th>
<th>Dates</th>
<th>Outcome</th>
<th>Evidence</th>
<th>Upload</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Carry out review of active monitoring systems</td>
<td>January 2016</td>
<td>Report on all the active monitoring methods currently used</td>
<td>1. Copy of report</td>
<td></td>
</tr>
<tr>
<td>Activity</td>
<td>Description</td>
<td>Dates</td>
<td>Outcome</td>
<td>Evidence</td>
<td>Upload</td>
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</tr>
<tr>
<td>2</td>
<td>Analyse the effectiveness of the systems used</td>
<td>January 2016</td>
<td>Analysis using historical data showing improvements (if any), any identifiable influence on accident rates, and benchmarking information with similar organisations</td>
<td>2. Report on the analysis, making recommendations for improvement&lt;br&gt;3. Email to director asking for comment, attaching reports&lt;br&gt;4. Reply approving report and proposed actions</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Develop appropriate documentation</td>
<td>February 2016</td>
<td>New forms and other associated documentation developed</td>
<td>5. New documentation</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Produce implementation plan</td>
<td>February 2016</td>
<td>Plan identifying key roles, knowledge required and training requirements</td>
<td>6. Implementation plan</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Issue plan to managers</td>
<td>March 2016</td>
<td>Plan issued ready for implementation by target date</td>
<td>7. Emails to managers with plan attached</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Following plan implementation instigate ongoing monitoring programme to confirm its effectiveness</td>
<td>June 2016</td>
<td>Record and maintain results</td>
<td>8. Provide an example of the initial results</td>
<td></td>
</tr>
</tbody>
</table>
5.3 Analysing loss events using effective methods of investigation

You need to demonstrate that you’ve used various methods to investigate a loss event. You’ll also need to highlight any weaknesses in the methods used and identify the most effective methods to be used for loss event investigation. Loss events can include accidents resulting in injury or property damage, and could include near miss events where there is a demonstrable cost/loss to the organisation. Whatever category is chosen, it must be a health and safety related event; environmental incidents are not acceptable.

Minimum activities: 6
Minimum evidence: 8

Key Points: Examples of loss event investigation methods:
- witness interviews
- speaking to the injured person (if there is one)
- photographs
- measurements
- relevant records, e.g. training, risk assessments, procedures/SSOW
- analysing accident reports
- analysing near miss reports
- analysing incident records

Areas to cover:
- how you heard about the event (e.g. accident report, near miss report, incident report)
- demonstrate that you investigated a loss event
- what you did (e.g. as per the methods mentioned above, and/or using recognised investigation protocols)
- how you recorded this information
- whether you looked back at any previous reports
- whether you referred to any accident statistics
- whether there were any recommendations made previously in this area that haven’t been carried out
- what your findings were (e.g. direct, underlying and root causes, contributory factors)
- what your recommendations were

Example activity sheet:

<table>
<thead>
<tr>
<th>Activity</th>
<th>Description</th>
<th>Dates</th>
<th>Outcome</th>
<th>Evidence</th>
<th>Upload</th>
</tr>
</thead>
</table>
| 1        | Obtained accident report and contacted site to confirm details | June 2016  | Initial details confirmed and arrangements made to visit site to conduct investigation | 1. Accident report  
2. Emails confirming details |        |
<p>| 2        | Visit site and conduct initial investigation | June 2016  | Site investigation carried out; interviews, photographs and measurements taken | 3. Short form investigation report |        |</p>
<table>
<thead>
<tr>
<th>Activity</th>
<th>Description</th>
<th>Dates</th>
<th>Outcome</th>
<th>Evidence</th>
<th>Upload</th>
</tr>
</thead>
<tbody>
<tr>
<td>3</td>
<td>Review accident data, trends, actions</td>
<td>July 2016</td>
<td>Identified two similar accidents previously; action taken on one but not the other</td>
<td>4. Accident statistics and summary, relevant ones highlighted</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Analyse information from current investigation</td>
<td>July 2016</td>
<td>In-depth analysis of information to identify immediate and underlying causes</td>
<td>5. My handwritten notes of exercise</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Produce investigation report with findings and recommendations</td>
<td>July 2016</td>
<td>Detailed investigation report, identifying all factors, and making recommendations to prevent recurrence</td>
<td>6. Investigation report</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Disseminate report</td>
<td>July 2016</td>
<td>Report sent for comment and approval</td>
<td>7. Email to director with report attached</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>8. Reply confirming that report had been discussed at board meeting and approved</td>
<td></td>
</tr>
</tbody>
</table>
5.4 Developing or implementing health and safety emergency response systems, contingency plans and procedures

You need to either demonstrate that you’ve developed emergency response systems, contingency plans and procedures, or that you’ve implemented them.

Minimum activities: 6
Minimum evidence: 8

Again this performance criterion gives you the option of covering either the development or implementation of emergency response systems. Although you can cover this criterion by focusing on one aspect, for a strong submission you should aim to cover both areas.

For the development aspect, you should cover:

- developing emergency response systems taking into account where necessary/appropriate:
  - statutory requirements
  - injury accidents
  - effects of fatalities
  - dangerous occurrences
  - fires and explosions
  - toxic releases
  - major disasters
  - rescue
  - security alerts
  - first aid requirements and / or medical provision
  - communication on and off site
  - employees, visitors, members of the public with disabilities
- demonstrating who you’ve involved in the development of the procedures
- demonstrating you’ve identified potential sources of an emergency situation within your organisation (or that of your client, if you’re a consultant)
- demonstrating how records of the emergency procedures will be maintained
- demonstrating how the proposed procedures will be tested to ensure that they are both effective and current
- checking whether there are sufficient resources available – if not making recommendations for improvement
- establishing effective communication with the emergency services
- making sure that the organisation has an applicable investigation procedure
- demonstrating that there are sufficient records of the emergency procedure available to key personnel and that staff are aware of what they should do in the event of an emergency

For the implementation aspect, you should cover:

- reviewing the emergency response system you’ve been asked to implement to check that it has taken into account where necessary/appropriate:
  - statutory requirements
  - injury accidents
  - effects of fatalities
  - dangerous occurrences
  - fires and explosions
  - toxic releases
  - major disasters
  - rescue
  - security alerts
  - first aid requirements and / or medical provision
  - communication on and off site
  - employees, visitors, members of the public with disabilities
  - if it doesn’t – you should highlight this and make recommendations
- explaining who you’ve involved in the implementation process
• demonstrating that you’ve planned the implementation process and stating what the various phases or steps are
• making sure that the relevant people are aware of the review, testing and investigation processes and their involvement in them
• making sure that the required resources have been allocated (including training requirements)
• demonstrating that there is effective communication with the emergency services
• making sure that employees are aware of their role in an emergency, even if it’s just to evacuate the premises
• checking the effectiveness of the procedure by review/drills and monitoring

If the procedure doesn’t cover all these areas, but your organisation doesn’t need to, then you must still demonstrate that you’ve reviewed the document, but in your reflective account you can explain why your organisation doesn’t need to cover all the issues.

Example activity sheet (development only):

<table>
<thead>
<tr>
<th>Activity</th>
<th>Description</th>
<th>Dates</th>
<th>Outcome</th>
<th>Evidence</th>
<th>Upload</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Convene a working party to consider an emergency response plan for the site</td>
<td>June 2016</td>
<td>Led the working party to consider the likely types of emergency, and the factors that would need to be considered</td>
<td>1. Minutes of meeting of working party</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Assemble a draft emergency plan</td>
<td>June 2016</td>
<td>Draft emergency plan put together to address foreseeable scenarios</td>
<td>2. Draft plan</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Disseminate plan for comment</td>
<td>July 2016</td>
<td>Plan sent for consultation, feedback received</td>
<td>3. Emails to managers asking for comment, plan attached</td>
<td>4. Replies received</td>
</tr>
<tr>
<td>Activity</td>
<td>Description</td>
<td>Dates</td>
<td>Outcome</td>
<td>Evidence</td>
<td>Upload</td>
</tr>
<tr>
<td>----------</td>
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<td>--------------------------------------------------------------------------</td>
<td>---------------------------------------------------------------------------</td>
<td>--------</td>
</tr>
<tr>
<td>4</td>
<td>Review resources needed, training and testing requirements</td>
<td>August 2016</td>
<td>Report produced making recommendations for improvement to enable plan to be put into action</td>
<td>6. Resources review report 7. Email to director attaching report 8. Reply received, confirming that report had been discussed at the board meeting and actions approved</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Liaise with emergency services</td>
<td>September 2016</td>
<td>Contact with emergency services established and plan sent for their information</td>
<td>9. Copies of written communication with emergency services</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Disseminate copies of plan to departments</td>
<td>October 2016</td>
<td>Copies of plan available to all staff</td>
<td>10. Controlled distribution list for plan</td>
<td></td>
</tr>
</tbody>
</table>
5.5 Developing and implementing health and safety audit systems and formulating reports

You need to demonstrate that you’ve developed or implemented an audit system. In both cases you must use the findings of the audit to produce a report.

As in previous cases in order to make a strong submission you should aim to cover as much of the development and implementation as possible although it’s still possible to cover this criterion whilst concentrating on one aspect.

It’s important to make sure that you submit activities and evidence relating to an audit, not an inspection (the two terms are often confused, but describe different activities)

Minimum activities: 6
Minimum evidence: 8

For the development aspect, you should cover:
• defining the nature, scope and frequency of the proposed audit system
• developing the documentation, such as questionnaires and check sheets
• ensuring that the audit is structured in line with recognised standards, guidance or legislation
• incorporating a recognised protocol for the conduct of the audit
• ensuring that suitably qualified auditors will be used
• developing an audit programme
• agreeing the audit programme with managers and directors
• identifying the roles of people involved in the audit in any way

For the implementation aspect, you should cover:
• demonstrating that you’ve identified the key roles that will be involved in the auditing process and ensuring that the people concerned are aware of their roles and responsibilities
• developing an audit programme
• agreeing the audit programme with managers and directors
• identifying any other auditors involved and checking that they’re competent
• ensuring that a recognised audit protocol is used
• ensuring that the audit takes into account recognised standards, guidance or legislation
• ensuring that the audit records significant findings and recommendations

There is some overlap between development and implementation, which can be seen in the guidance points above.

Whether you cover development or implementation, you must then go on to demonstrate that:
• you have raw data from the audit
• you’ve extracted the data into an organised format
• you’ve produced a report summarising your findings and highlighting any areas of concerns, along with recommendations
Example activity sheet:

Outline and Background
As part of the continuing improvements taking place at my organisation, amongst them was a development of the health and safety management system that I had played a pivotal role in, we had decided as an organisation to seek certification to recognised standards, to recognise achievements and send a powerful message of commitment to the workforce. A meeting of the managers group was set up to discuss this and the next steps needed.

<table>
<thead>
<tr>
<th>Activity</th>
<th>Description</th>
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<th>Outcome</th>
<th>Evidence</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Agree nature, scope and frequency of audit system</td>
<td>June 2016</td>
<td>During meeting with managers group, it was agreed that an audit against OHSAS 18001 would be devised, at directorate level, at two-monthly intervals</td>
<td>1. Minutes of managers group meeting at which the issue was discussed</td>
</tr>
<tr>
<td>2</td>
<td>Develop question sets</td>
<td>July 2016</td>
<td>I developed question sets against the clauses of 18001 for auditors to use</td>
<td>2. Sample of question sets</td>
</tr>
<tr>
<td>3</td>
<td>Assemble and agree an audit programme</td>
<td>July 2016</td>
<td>Proposed audit programme devised, circulated, and agreement reached</td>
<td>3. Proposed audit programme 4. Emails to directorate managers asking for feedback 5. Replies, some amendments needed</td>
</tr>
<tr>
<td>4</td>
<td>Ensure auditors are competent</td>
<td>July 2016</td>
<td>Confirmed that auditors selected to assist had at least the same level of auditor training as me</td>
<td>6. Copies of auditor training certificates</td>
</tr>
<tr>
<td>5</td>
<td>Carry out audit</td>
<td>July 2016</td>
<td>Audit carried out against 18001 using checklists</td>
<td>7. Example of my completed checklist</td>
</tr>
<tr>
<td>6</td>
<td>Write audit report</td>
<td>July 2016</td>
<td>Data extracted from checklist and formal audit report written, with recommendations</td>
<td>8. The audit report 9. Email of the report to the managers group</td>
</tr>
</tbody>
</table>
5.6 Reviewing a health and safety management system and making recommendations

You need to demonstrate that you have reviewed the effectiveness and performance of a health and safety management system, and made suitable recommendations to address any deficiencies.

Minimum activities: 5
Minimum evidence: 7

Areas to cover:
- Identify each part of the health and safety management system and identify SMART targets or performance indicators for these as appropriate
- Define the factors, features and review frequency for each part of the management system
- Assess the efficiency, performance and cost-effectiveness of the management system
- Advise relevant stakeholders of any changes needed to improve the system
- Assist in the implementation of any necessary changes
- Keep appropriate records of the reviews

Example activity sheet

Outline and Background
My health and safety department had been busy over the last year carrying out proactive measures such as audits, inspections, training and assisting with risk assessments, in addition to collating information on accidents and incidents. We had thus accumulated a lot of information. As the year came to a close, I felt it was time to review all of this information, to see exactly what we had achieved and where we now were. I therefore proposed to my director that we carry out an end of year management review, which he agreed to.

<table>
<thead>
<tr>
<th>Activity</th>
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<th>Dates</th>
<th>Outcome</th>
<th>Evidence</th>
<th>Upload</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Gain support from the directors for a review of health and safety performance</td>
<td>September 2016</td>
<td>Full support and commitment from the board</td>
<td>1. Email to directors proposing the review</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>2. Response from the responsible director</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Identify what performance measures we had already set</td>
<td>October 2016</td>
<td>Established the performance measures we would use in the review</td>
<td>3. Table of targets and performance measures</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Set up the review meeting</td>
<td>October 2016</td>
<td>Meeting scheduled and required attendees notified</td>
<td>4. Email to required attendees</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>5. Agenda for the meeting</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Attend and contribute to the review meeting</td>
<td>November 2016</td>
<td>Performance reviewed</td>
<td>6. Minutes of the meeting</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Report on review and make recommendations</td>
<td>November 2016</td>
<td>Formal report and recommendations, targets and objectives for next year</td>
<td>7. My report</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>8. Schedule for implementing changes</td>
<td></td>
</tr>
</tbody>
</table>