Guide to the Skills Development Portfolio

Version 5

All portfolios submitted online must follow this guidance
IPD and CPD

If you are a Graduate member you must do both 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. There’s no other way to become a Chartered member. Part of IPD is available online and there are 4 routes through IPD. Which route you are 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, 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.

You must maintain your Continuing Professional Development (CPD) throughout your Graduate membership in order to retain your membership category.

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).

Graduate members who have been successful with their Skills Development Portfolio but don’t have an 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 invited to interview and once you have been successful at interview you will be recommended to the next Professional Committee for transfer to Chartered Status. So how quickly you get to Chartered status is 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.

Don’t forget you can change your mind at any time and change a performance criterion, even if you have partly completed it.

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 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 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.

Security Issues and Client confidentiality

If you have client confidentiality issues then you can remove any company names and addresses from your evidence – just remember not to remove yours!

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. We can find you an assessor who has the required level of clearance in order to assess your portfolio for us. As soon as you know when you’re going to submit your portfolio/criteria – let your designated IPD Officer 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.
**Activity sheets**

The activity sheets give details of what happened in addressing the requirements of the criteria, and the evidence that was produced and submitted.

Complete the Activity sheets in the following manner:

- **Activity column** – simply a sequential number you give 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  
- **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 for reference purposes.  
- **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 reflective accounts 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. You should also translate the output of that analysis into a developmental or improvement plan for the future. There is no word limit for a reflective account.

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

- 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.

**Evidence**

You can use activities and evidence from up to two years before the date on which you submit your portfolio (or individual criteria). If you want to use something from prior to this date you will need to review it in order to make it current again. A second possible exception is in the case of an ongoing project that commenced prior to two years before the submission date, but includes evidence coming within the two year period.

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.
If you are a consultant please check with your client that you can use documents before you base your activities on them. If you have evidence containing personal/sensitive data on individuals, either obtain their express permission to use it, or remove identifying details before submitting it, in order to comply with the Data Protection Act. We do operate a secure environment for submissions and adhere to Data Protection guidelines 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. Please consult the specific guidance on confidentiality provided for further details.

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. A similar consideration would apply to minutes of meetings where attendees are listed.

**Unsuitable Evidence**

Your portfolio must be based purely on Health and safety. If you have aspects of Environmental or Quality management 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 are not demonstrating the application of your knowledge in any way. 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.

**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** – these can be submitted alongside other evidence but should not be submitted as a stand alone document to cover a criterion.

**Large documents** – don’t 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 …’.

**Specific sections of documents** – if you are putting in the minutes of a meeting or a report that isn’t particularly large then it’s still a good idea to highlight the specific points or paragraphs you are referring to. This will ensure that the assessor is guided through your portfolio effectively.

**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.
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 a statement of the criterion, typically a qualifying statement providing further detail, and a minimum number of activities and items of evidence required for that criterion, followed by guidance as below. 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 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 competence.

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 the guide will tell you what your objectives for that option 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 can use other activities if you want but by reading through the examples given it will help you get a feel for what the criterion is asking for.

If you chose 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’ 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 your Membership development Co-ordinator. The Co-ordinators are not technically trained 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.
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 Using appropriate management techniques to initiate, develop or promote policies
1.2 Engaging individuals and groups in the promotion and development of a positive safety culture
1.3 Overcoming the potential barriers to full effectiveness
1.4 Making a presentation at a meeting or seminar

Element 2 – Undertaking work-based projects to develop or implement positive health and safety policies 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 or develop a positive health and safety policy
2.3 Identifying or using appropriate management techniques to implement a positive health and safety policy
2.4 Engaging individuals and groups in developing and implementing a positive health and safety policy

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

Performance criteria, select one from:

3.1 Identifying, selecting and evaluating available and current sources of health and safety information for dissemination internally and externally
3.2 Producing in-house publications on health and safety
3.3 Developing and implementing communication systems between different areas of your organisation
3.4 Developing or implementing effective communication with contractors

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

Performance criteria, select two from:

4.1 Appraising assessment and control standards, legislation and guidance
4.2 Identifying and evaluating health and safety hazards
4.3 Applying appropriate tools and techniques for measurement or investigation
4.4 Identifying actual and potential loss events and making recommendations
4.5 Identifying human factors which contribute to risk
4.6 Developing or implementing a risk assessment and control strategy from design to disposal

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

Performance criteria, select two from:

5.1 Devising or implementing health and safety risk control or reduction measures
5.2 Developing and applying safe systems of work
5.3 Developing or implementing health and safety active monitoring systems, including gathering and analysing appropriate data
5.4 Analysing loss events using effective methods of investigation
5.5 Developing or implementing health and safety emergency response systems and contingency plans and procedures
5.6 Developing or implementing and using health and safety audit systems and formulating reports
Element 1 – The promotion and development of a positive safety culture in an organisation, and its integration with other management functions

1.1 Using appropriate management techniques to initiate, develop or promote policies

Minimum activities: 4
Minimum evidence: 5

Ways to cover this criterion:

**Option 1**

Demonstrate that you’ve identified the need to develop a policy and have gone on to develop it.

Areas to cover:
- how you identified the need for a policy
- whether you consulted anyone/involved them in the policy development
- what other management techniques you used in the policy development (e.g. research, benchmarking)
- what you did to disseminate the policy

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>Review current policies to identify if there are any shortfalls</td>
<td>March 2011</td>
<td>Reviewed policies and produced report</td>
<td>(1) Initial notes on current policies and report showing my findings</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Highlight to Manager policies identified as requiring development</td>
<td>March / April 2011</td>
<td>Communication and agreement with manager on making changes</td>
<td>(2) Email to my manager detailing the review I have carried out with a copy of my report showing my changes</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Develop policy</td>
<td>May 2011</td>
<td>Draft of new policy produced for comment</td>
<td>(3) Copies of policies I have developed with track changes shown</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Send completed policies to my Manager for feedback</td>
<td>June 2011</td>
<td>Policy sent to manager, feedback and approval obtained– policies are good, get them uploaded onto the intranet</td>
<td>(4) Email to my Manager with policies attached (5) Email reply from my Manager</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Get reviewed policies uploaded onto intranet</td>
<td>June 2011</td>
<td>Policies uploaded to internet to make them available</td>
<td>(6) Email to IT department to replace the existing policies on the website with the new reviewed ones</td>
<td></td>
</tr>
</tbody>
</table>
Option 2

Demonstrate that you’ve identified the need to promote a policy and gone on to promote it.

Areas to cover:
- how you identified the policy that needed promoting
- how you identified and decided on the techniques to be used to promote it
- how you carried out the promotion
- whether you encountered any problems, and if so how you overcame them
- demonstrating the receipt of feedback on these promotional activities

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>Propose to health and safety committee that a staff survey to evaluate safety culture be carried out</td>
<td>September 2010</td>
<td>Health and safety committee consulted and on board with my proposal</td>
<td>(1) Minutes of meeting showing my proposal and a copy of the questionnaire I have produced</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Present results of the survey in a report for the health and safety committee</td>
<td>December 2010</td>
<td>Confirmation and demonstration of the need to promote the policies - employees understanding of the company policies is poor</td>
<td>(2) Copy of the report I produced showing the results of the survey (3) Minutes of health and safety committee showing report being presented</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Have a meeting with my manager to discuss ways to promote policies</td>
<td>December 2010</td>
<td>Identification of staff briefings as the best course of action to start with.</td>
<td>(4) My notes from meeting</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Develop presentation</td>
<td>February 2011</td>
<td>Presentation for staff developed to promote awareness</td>
<td>(5) Copy of presentation along with notes that I developed.</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Arrange staff briefings</td>
<td>February 2011</td>
<td>Briefings arranged and carried out</td>
<td>(6) Email to departmental managers with proposed date for briefing.</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Receive feedback from staff to ensure that the briefings have done what they were planned to do</td>
<td>February – April 2011 (Feedback taken after each presentation)</td>
<td>Feedback demonstrating that the briefings were found to be generally very useful and interesting</td>
<td>(7) 5 completed feedback forms</td>
<td></td>
</tr>
</tbody>
</table>
1.2 Engaging individuals and groups in the promotion and development of a positive 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 key personnel
- explaining how you engaged them
- identifying topic area, including aims and objectives
- gathering feedback and explaining your follow up.

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>Contact the HR department to request the names and job titles of new starters for the month</td>
<td>June 2011</td>
<td>List of people to include in induction activity</td>
<td>(1) Email to HR asking for new starters’ details</td>
</tr>
<tr>
<td>2</td>
<td>Develop general induction presentation and booklet for attendees</td>
<td>July 2011</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.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>(3) Extract from the health and safety section of the employee handbook with changes marked where I’ve reviewed it</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Liaise with Managers of departments to make sure that the presentation covers all the main hazards within in their areas.</td>
<td>July 2011</td>
<td>Consultation with managers to arrive at a useful and pertinent content to the induction</td>
<td>(4) Email to managers asking for feedback on the presentation.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>(5) Emails from 3 managers giving feedback.</td>
<td>(6) Evidence that I’ve modified the presentation in light of the feedback.</td>
</tr>
<tr>
<td>4</td>
<td>Give presentation</td>
<td>July 2011</td>
<td>Induction presented to new employees</td>
<td>(7) Attendance sheet from presentation</td>
</tr>
<tr>
<td>5</td>
<td>Get feedback from attendees to gauge how effective the presentation was</td>
<td>July 2011</td>
<td>Feedback obtained to learn from</td>
<td>(8) Copy of some attendees’ feedback forms</td>
</tr>
</tbody>
</table>
1.3 Overcoming the potential barriers to full effectiveness

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.

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 barrier 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):

<table>
<thead>
<tr>
<th>Background</th>
<th>Whilst developing the health and safety management system, I identified that one missing element was a consultative health and safety committee to involve staff. Accordingly, I began the process of setting one up, but soon encountered a problem, in that no-one seemed willing to come forward to volunteer as a representative of employee safety (non-unionised workplace), nor were there any nominations for this role. I clearly needed to find out why this was the case, and try and resolve this situation.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Activity</td>
<td>Description</td>
</tr>
<tr>
<td>1</td>
<td>Develop a questionnaire for staff on health and safety perceptions, including consultation</td>
</tr>
<tr>
<td>2</td>
<td>Analyse results from survey to determine trends/common themes</td>
</tr>
<tr>
<td></td>
<td>Task</td>
</tr>
<tr>
<td>---</td>
<td>----------------------------------------------------------------------</td>
</tr>
<tr>
<td>3</td>
<td>Develop presentation on consultation and it’s benefits</td>
</tr>
<tr>
<td>4</td>
<td>Give presentation and obtain feedback</td>
</tr>
<tr>
<td>5</td>
<td>Re-issue invitation for safety representatives</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 safety culture.

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
- how you gained feedback
- what you did with that feedback (e.g. developed the presentation, rolled it out to other departments)
- what follow up you had to your presentation

You should cover all these aspects in this criterion – even if some of them are in your reflective account.

Example activity sheet:

<table>
<thead>
<tr>
<th>Activity</th>
<th>Description</th>
<th>Dates</th>
<th>Outcome</th>
<th>Evidence</th>
</tr>
</thead>
</table>
| 1        | Identify a topic that needs promoting within my organisation | Oct 2010 | I gained an understanding of live health and safety issues within my organisation, and from these identified the most crucial one that needed addressing | (1) Copy of health and safety questionnaire I developed to gain an understanding of the health and safety culture within the lecturing staff.  
(2) Table showing the results of the questionnaire.  
(3) Report detailing the findings of the questionnaire and the topic areas that are less well understood. |
| 2        | Topic identified (Manual Handling) research for information for presentation | Nov 2010 | Reviewed, updated and expanded my knowledge and understanding of manual handling | (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 |
<table>
<thead>
<tr>
<th></th>
<th>Activity</th>
<th>Date</th>
<th>Description</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>3</td>
<td>Produce a presentation</td>
<td>Nov 2010</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>Nov 2010</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.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>(9) Attendance lists</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>(10) Feedback forms from staff who attended.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>(11) Summary of main points from feedback and changes to presentation in the light of these</td>
</tr>
</tbody>
</table>
Element 2 – Undertaking work-based projects to develop or implement positive health and safety policies 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.

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 requirements
- what is 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
- what you’ve had to do to make sure that these requirements are met – you should ensure that at least 2 areas of shortfalls identified in your recommendations are fully addressed

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>I will identify the inputs, processes and outputs of my organisation.</td>
<td>February 2011</td>
<td>Gained better understanding of business by carrying out this analysis</td>
<td>(1) Table I have produced identifying the inputs, processes and outputs.</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>I will identify the health and safety requirements of these identified inputs, processes and outputs.</td>
<td>February 2011</td>
<td>Increased understanding of the health and safety issues associated with the stages of the business processes</td>
<td>(2) 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>I will identify how my organisation has ensured that these requirements are met.</td>
<td>March 2011</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.</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>(4) 4 policies that have covered various requirements.</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>I will identify where there are requirements that are not covered and provide recommendation</td>
<td>March 2011</td>
<td>Detailed analysis of effectiveness and efficiency of management system in addressing</td>
<td>(5) Report I have produced identifying requirements that we don’t meet along with my</td>
<td></td>
</tr>
<tr>
<td>for the Board about how this might be met.</td>
<td>health and safety issues, identifying areas for action</td>
<td>recommendations on how we can meet these requirements.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>------------------------------------------</td>
<td>--------------------------------------------------</td>
<td>-----------------------------------------------------</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(6)Copy of email – emailed report to my Director for comment.</td>
<td>(7)Confirmation that I have put 2 additional procedures in place</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>


2.2 Using goals and performance targets to design or develop a positive health and safety policy

This criterion asks you to demonstrate that you can identify deficiencies in your organisation’s management structure and put together a programme in order to address them.

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 (including in policies/procedures)
- making recommendations
- putting together a programme for required recommendations, including deadlines and responsible persons, that includes a policy or policies
- consulting others
- addressing any recommendations you’re responsible for
- providing an update

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        | Audit the current safety management system to identify deficiencies. | May 2011 | I carried out the audit, which highlighted some deficiencies, explained in my report. | (1) The audit I carried out.  
(2) The report I produced highlighting deficiencies |        |
| 2        | Analyse the results of the audit and where necessary make recommendations for change | June 2011 | 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 | (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. |        |
| 3        | Address the actions that I am responsible for within the time frames agreed | June 2011 | 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. | (5) The fire risk assessment I produced.  
(6) Notes from research into types of fire door.  
(7) Email to director with assessment attached. |        |
| 4        | Provide a full update on the status of the | July 2011 | The director has taken my audit findings to the | (8) Minutes of board meeting at which the audit |        |
| recommendations. | 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. | findings were discussed. (9) Report showing the current status of highlighted actions. All policies have been reviewed or written and most have been approved. |
2.3 Identifying or using management techniques to implement a positive 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.

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.

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 how to implement it
• how you planned to implement it
• how you did actually implement it
• whether it worked
• 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:

<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 key people and how best to communicate the new policy to each role.</td>
<td>Sept 2010</td>
<td>Identified the key roles, i.e. Managers and Technicians and the best technique for communicating the changes and the implementation.</td>
<td>(1) Short report I have produced</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Produce implementation plan</td>
<td>Sept 2010</td>
<td>Valuable experience in planning 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>Sept 2010</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>4</td>
<td>Produce presentation for</td>
<td>Sept 2010</td>
<td>Relevant and concise</td>
<td>(4) Presentation slides I produced.</td>
<td></td>
</tr>
<tr>
<td>Briefing to Managers</td>
<td>Presentation Pack Produced</td>
<td>Action Dates</td>
<td>Notes</td>
<td></td>
<td></td>
</tr>
<tr>
<td>----------------------</td>
<td>----------------------------</td>
<td>--------------</td>
<td>-------</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5 Review feedback from managers on proposed implementation process</td>
<td>Oct 2010</td>
<td>Gained valuable feedback that enabled further development of plan</td>
<td>(5) Summary of feedback</td>
<td>(6) Reviewed implementation plan</td>
<td></td>
</tr>
<tr>
<td>6 Arrange staff briefings for other roles</td>
<td>Oct 2010</td>
<td>Other staff included in process of implementation</td>
<td>(7) Emails showing briefings being arranged and members of staff being invited</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7 Amend presentation so it is relevant to the different roles.</td>
<td>Oct 2010</td>
<td>Fine tuning of presentation materials for target audience</td>
<td>(8) Amended presentation for technicians</td>
<td></td>
<td></td>
</tr>
<tr>
<td>8 Carry out briefing and collect feedback</td>
<td>Oct 2010</td>
<td>Other staff briefed to bring them on board</td>
<td>(9) Attendance list</td>
<td>(10) Summary of feedback from attendees</td>
<td></td>
</tr>
<tr>
<td>9 Review implementation process</td>
<td>Jan 2011</td>
<td>Implementation process commenced, ongoing, and reviewed for effectiveness</td>
<td>(11) COSHH assessments completed by technicians using new process</td>
<td>(12) Email to managers asking for feedback on how effective the implementation process was – emails from managers with feedback</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>(13) Summary of feedback on implementation</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
2.4 Engaging individuals and groups in developing and implementing a positive health and safety policy

You need to demonstrate that you’ve engaged individuals and groups whilst developing and implementing positive health and safety policies.

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
- how these individuals or groups helped you to implement your policy

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>Develop Health and safety policy including organisation and arrangements.</td>
<td>January 2011</td>
<td>Policy developed and consultation on it carried out with my line manager</td>
<td>(1) Copy of draft policy</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>(2) Email to my Manager asking for comment</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>(3) Manager’s reply with points to consider</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Review draft policy in view of manager’s comments</td>
<td>February 2011</td>
<td>Policy reviewed to incorporate manager’s comments, thereby encouraging ownership</td>
<td>(4) Copy of revised policy with changes shown</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Consult staff about Health and safety policy</td>
<td>March 2011</td>
<td>Consultation with staff on policy carried out to bring them on board</td>
<td>(5) Agenda for safety committee showing that the policy is being sent to committee members and asking for feedback</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Review draft</td>
<td>March</td>
<td>Policy reviewed</td>
<td>(7) Copy of</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Event Description</td>
<td>Date</td>
<td>Notes</td>
<td></td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>-----------------------------------------------------------------------------------</td>
<td>------------</td>
<td>----------------------------------------------------------------------</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>policy in light of safety committee members’ comments</td>
<td>2011</td>
<td>to incorporate changes suggested by committee, again encouraging ownership</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>revised draft policy with changes shown</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Submit policy to the board for approval</td>
<td>April 2011</td>
<td>Finalised policy submitted for approval</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>(8) Board meeting agenda showing that the policy is to be discussed</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>(9) Minutes of the meeting showing that it was discussed and approved</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Communicate changes to staff.</td>
<td>May 2011</td>
<td>Consideration of implementation aspects</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></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>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>(11) Record of briefing sessions with staff and managers on policy responsibilities</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>Implement policy</td>
<td>June 2011</td>
<td>Start made on implementing the various aspects of the new policy</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>(12) Examples of completed new style accident reports as per the new policy</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>(13) Attendance lists at new briefing sessions I held as per the new policy</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Element 3 – Developing or implementing effective communication systems for health and safety information

3.1 Identifying, selecting and evaluating available and current 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 templates)
• 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:

<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 external sources of health and safety information</td>
<td>Sept 2011</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</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Use an external source of information to help develop a policy document on noise</td>
<td>Oct 2011</td>
<td>Policy on relevant issue as a result of the use of information sources</td>
<td>(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.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Identify internal sources of performance measurement information</td>
<td>Sept 2011</td>
<td>Collation of information on internal performance measures</td>
<td>(5) Table showing the internal performance measurement information I’ve identified, with details of who at which level of the organisation receives it.</td>
<td></td>
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<tr>
<td>---</td>
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<td>---</td>
<td>---</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Identify regulatory bodies that I report health and safety information to.</td>
<td>Sept 2011</td>
<td>Collation of information on information sent outside the organisation</td>
<td>(6) Table showing the external bodies that I report health and safety information to, including what, how often and why it’s reported.</td>
<td></td>
</tr>
</tbody>
</table>
3.2 Producing in-house publications on health and safety

You need to demonstrate that you’ve produced in house publications designed to communicate health and safety information. Examples include posters, leaflets, booklets, handbooks, videos and presentations (discreet presentations, rather than complete training courses).

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 the two):
- Option 1 - by using items that you’ve developed as part of a campaign
- 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 these campaign 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
- 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
- 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 considerable amount of 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:

<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</td>
<td>May 2011</td>
<td>Analysis identified the</td>
<td>(1)Accident data in the form of</td>
<td></td>
</tr>
<tr>
<td></td>
<td>trends/ongoing problem areas</td>
<td>two most significant areas as manual handling and slips/trips, as causes of injury</td>
<td>graphs and charts, with most affected parts of the organisation highlighted</td>
<td></td>
<td></td>
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<td>----------------------------------------------------------------------------------</td>
<td>---------------------------------------------------------------------</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Meet with managers and staff in affected areas</td>
<td>July 2011</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 2011</td>
<td>Briefing note on manual handling provided to most affected departments</td>
<td>(3) My manual handling briefing note (4) Distribution list for briefing note</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Produced and distribute slips and trips briefing note</td>
<td>July 2011</td>
<td>Briefing note on slips and trips provided to most affected departments</td>
<td>(5) My slips and trips briefing note (6) Distribution list for briefing note</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Obtain feedback on the information provided</td>
<td>July 2011</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 (8) Replies commenting on how well received the notes were</td>
<td></td>
</tr>
</tbody>
</table>
3.3 Developing and implementing communication systems between different areas of your organisation

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

There are several ways of covering this. This criterion is mainly aimed at 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 permanent, not temporary

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

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 a safety representative within each area</td>
<td>June 2011</td>
<td>Safety reps identified for all areas to provide sufficient representation of staff</td>
<td>(1) Organisation chart to identify areas.</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>(2) List of managers for each area</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>(3) Email to managers asking them to appoint a safety representative in their area and to let me know who they are.</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>(4) Email to safety representatives asking them to come to a presentation</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>(5) My presentation to them explaining their role and rights</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Arrange a meeting for safety representatives to make sure they’re aware of their role</td>
<td>July 2011</td>
<td>All safety reps brought up to speed on their roles and responsibilities to enable them to function effectively</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Identify members of a safety committee</td>
<td>July 2011</td>
<td>Management kept in the loop to enable them to contribute to safety committee</td>
<td>(7) Email to my manager for comment, listing the people who have been appointed to the safety committee and their roles</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Arranging safety committee</td>
<td>September 2011</td>
<td>Safety committee initiated and functioning</td>
<td>(8) Email to members of the safety committee with the dates of the next 3 meetings and asking for items for the agenda</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>(9) Agenda for the first meeting, created following feedback from members and including discussion of a proposed smoking policy</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Circulate minutes of the meeting</td>
<td>September 2011</td>
<td>Results of meetings circulated to all interested parties</td>
<td>(10) Email to all committee members attaching the minutes and an action list</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Demonstrate consultation on matters affecting the health and safety of staff</td>
<td>September 2011</td>
<td>Consultative role of committee working effectively, staff involved in policy formulation</td>
<td>(11) Feedback from committee members on the smoking policy.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>(12) Email to safety representatives asking for feedback on the smoking policy.</td>
<td></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
• demonstrate that you’ve communicated with them to establish their health and safety requirements
• 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 the contractors’ work
• demonstrate that you’ve created a plan that incorporates both parties requirements
• demonstrate that the plan is followed 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>April 2011</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>May 2011</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>
</tr>
<tr>
<td>3</td>
<td>Demonstrate that the contractors are aware of our health and safety requirements</td>
<td>May 2011</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</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Description</td>
<td>Date</td>
<td>Notes</td>
<td></td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>------------------------------------------------------------------------------</td>
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<td>----------------------------------------------------------------------</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Create a plan to make sure that everyone’s health and safety requirements are catered for</td>
<td>May 2011</td>
<td>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.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Demonstrate that the plan is used on site</td>
<td>June 2011</td>
<td>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 that it was an effective way of fitting vinyl flooring in a high traffic area with minimum disruption to staff and the contractor, whilst meeting all the health and safety requirements.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Element 4 – Assessing the health and safety risks of an organisation

4.1 Appraising assessment and control standards, legislation and guidance

You need to demonstrate your knowledge and understanding of the various hazards in your workplace and the different ways of identifying 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 hazard identification is carried out. You could present this in a table showing the work activity or process and the method of hazard identification that is used.

Minimum activities: 4
Minimum evidence: 6

Areas to cover:
- why you use this method of hazard identification on this work activity or process
- what other options there are
- what the pros and cons of these methods are
- if there are any legislative, guidance or best practice reasons for carrying out hazard identification or using any specific methods
- if you have recommended that hazard identification to 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>Activities</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>May 2011</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>May 2011</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>3</td>
<td>Provide an example in which I’ve recommended that hazard identification be carried out.</td>
<td>June 2011</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</td>
<td></td>
</tr>
</tbody>
</table>
| 4  | Carry out COSHH assessments | June 2011 | Increasing legal compliance and addressing an area of risk to avoid ill health | (4) COSHH assessments I’ve completed  
(5) A hazardous substance register  
(6) Guidance notes for members of staff in the department on what to do if a new product is brought into the department. |
4.2 Identifying and evaluating health and safety hazards

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 hazard identification processes and produce suitable documentation.

Minimum activities: 5
Minimum evidence: 7

Key Points: hazard identification processes that can be used:

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

- Site inspection
- Specific risk assessments e.g.  
  - Manual handling assessment
  - COSHH assessment
  - DSE 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 hazard identification methods that you’re going to use on each work activity.
- carry out the proposed hazard identification. 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>
<th>Upload</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Identify work activities to be used and hazard identification processes for the proposed activities.</td>
<td>March 2011</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 hazard identification processes currently used.</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Carry out risk assessment on hairdressing department.</td>
<td>March 2011</td>
<td>Identification of hazards in ‘low risk’ environment</td>
<td>(2) Risk assessment I carried out, including recommendations.</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Carry out</td>
<td>March</td>
<td>Gained further</td>
<td>(3) Manual handling</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Task Description</td>
<td>Year</td>
<td>Details</td>
<td></td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>----------------------------------------------------------------------------------</td>
<td>------</td>
<td>--------------------------------------------------------------------------------------------------</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>Manual handling assessment on brickwork department.</td>
<td>2011</td>
<td>Insights into a department and its work.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Carry out COSHH assessments in pottery department.</td>
<td>March 2011</td>
<td>Identified several areas of concern for action. (4) COSHH assessments I carried out, including recommendations.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Carry out Event Tree Analysis on possible gas release from Gas Safe assessment area.</td>
<td>April 2011</td>
<td>Opportunity to increase experience in using an assessment tool. (5) ETA I carried out, including a report and recommendations.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Summarise findings of assessments to provide action plan</td>
<td>May 2011</td>
<td>Collation of findings and recommendations, action plan to focus efforts. (6) Summary report on findings and recommendations. (7) Email to manager with report for information.</td>
<td></td>
<td></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 investigate risks.

Minimum activities: 8
Minimum evidence: 10

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

Key Points: Example 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):

<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>May 2011</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>2</td>
<td>Plan collection of data using a light meter</td>
<td>May 2011</td>
<td>Report showing where the planned readings are to be taken and at what times of the day, with and without the</td>
<td>(2) Report on planned readings (3) Details of planned consultation</td>
<td></td>
</tr>
<tr>
<td></td>
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<td>---</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Carry out readings</td>
<td>May 2011</td>
<td>Light level readings taken in areas to assess the extent of the problem</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>(4) Plan of staff room marked with points where readings were taken, with a table of readings.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>(5) Notes from meetings with members of staff</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Summarise findings</td>
<td>June 2011</td>
<td>Collation of findings to enable recommendations to be made following suitable research and comparison of results</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>(6) Report showing the readings and descriptions of the activities carried out in each area.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>(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>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Communicate findings to my director for allocation of resources</td>
<td>June 2011</td>
<td>Communication of findings to enable action to be initiated</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>(8) Email to my director explaining what I’ve done and attaching the report.</td>
<td></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 and provide a summary of the relevance of the information to the situation in which the risk is being assessed.

Minimum activities: 4
Minimum evidence: 6

Areas to cover:
- identify loss events in your organisation 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 organisation’s loss events with the industry standard
- 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>May 2011</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. (2)Table showing loss event data I’ve put together for the organisation (extract from larger report I produced) (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>2</td>
<td>Identify industry standards</td>
<td>May 2011</td>
<td>Practised research skills and familiarised myself with industry data to enable comparisons with my organisation to be made</td>
<td>(4)Notes from my research into the industry standard. (5)Extract from a report I produced summarising industry standard loss event data and specifically events involving</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Task</td>
<td>Date</td>
<td>Description</td>
<td></td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>----------------------------------------------------------------------</td>
<td>------------</td>
<td>-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Comparison between the industry standard and the organisation</td>
<td>May 2011</td>
<td>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 comparing this to our current situation.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Summarise findings and make recommendations</td>
<td>May 2011</td>
<td>Identification of actions needed to improve the current situation to reduce risk (8) Summary from report I produced including recommendations for improvements to current processes for working with a forklift truck.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Communicate findings to relevant employees</td>
<td>June 2011</td>
<td>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 recommending that my report be on the agenda for the next board meeting. (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 very shortly to try to address the highlighted issues.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
4.5 Identifying human factors which contribute to risk

You need to demonstrate that human factors have been considered as part of task design.

Minimum activities: 4  
Minimum evidence: 6

Areas to cover:
- if you have any evidence that human factors have led to new risks that weren’t considered in the initial planning of the task or process
- how you addressed this
- whether there is an example where you considered human factors while planning how a specific task should be completed
- what the human factors were
- how they affected the original plan

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 demonstrated that human factors haven’t been considered in planning specific tasks
- recommendations you’ve made to consider human factors in planning of tasks

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 human factors in an accident involving a fall from height</td>
<td>April 2011</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 2011</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>
</tr>
<tr>
<td>3</td>
<td>Analysis of the human failure involved to pinpoint cause</td>
<td>April 2011</td>
<td>Review of the accident and of HSG 48 enabled the human factors involved to be pinpointed</td>
<td>(3) Report into the accident analysing the human factors, and making recommendations</td>
<td></td>
</tr>
</tbody>
</table>

(4) Email to my director, attaching the report for comment

(5) Reply from director, approving report and proposed action
<table>
<thead>
<tr>
<th></th>
<th>Task Description</th>
<th>Date</th>
<th>Description</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>4</td>
<td>Revise risk assessment</td>
<td>May 2011</td>
<td>Risk assessment revised to take into account possible human factor failures</td>
<td>(6)</td>
</tr>
<tr>
<td>5</td>
<td>Produce method statement for task</td>
<td>June 2011</td>
<td>Specific method statement to build in controls to prevent recurrence/mitigate effects</td>
<td>(7)</td>
</tr>
</tbody>
</table>
4.6 Developing or implementing a risk assessment and control strategy from design to disposal

If you’ve had a role in which you’ve set up a risk assessment 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 strategy, there’s the option to cover one or the other, i.e. how you developed a risk assessment 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
- if anyone will require any training
- if you designed any forms for record keeping
- whether you have a process for highlighting any flaws 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>June 2011</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>July 2011</td>
<td>Report disseminated to managers for feedback</td>
<td>(2) Emails to managers requesting comment, report attached</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Revise proposals in light of feedback</td>
<td>July 2011</td>
<td>Finalised strategy, detailing assessments required</td>
<td>(3) Strategy I produced, as issued as final</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>(4) My recommendations</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
| 4 | **Make arrangements for implementation** | July 2011 | Collate plans for training, documentation  
(5) Training plan  
(6) Assessment forms |
| 5 | **Write procedure, including corrective action process** | July 2011 | Policy and procedure written and issued  
(7) Policy/procedure document I wrote |
| 6 | **Incorporate documentation into formal document process** | July 2011 | Policy and procedure, and associated forms, now subject to formal review and archiving processes  
(8) Screen shots of documentation system showing relevant documents included |
Element 5 – Managing the health and safety risks of an organisation

5.1 Devising or implementing health and safety risk control or reduction measures

This criterion requires you to carry out or review a risk assessment and make recommendations for control measures to reduce the risk identified.

Once again, you can demonstrate either that you’ve devised the risk control or reduction methods, or that you’ve just implemented them.

Minimum activities: 5
Minimum evidence: 7

There are several aspects that you need to cover, either in your activity sheet or in your reflective account.

If you’re demonstrating that you’ve devised risk control or reduction methods you should cover:

• assessing the adequacy of the current control methods. Even if you are carrying out a risk assessment on an activity for the first time, there will be some control measures that the operatives already use, probably without even realising. You will need to consider:
  o reliability of controls
  o the degree of implementation
  o practicality
  o the performance standard achieved when implemented
  o the results of monitoring
  o legal requirements
• identifying two hazards and clearly detailing proposed further control measures, identifying legal and best practice performance standards and suggesting an appropriate risk control hierarchy.
• producing an improvement implementation programme, including prioritisation of improvements based on risk. The programme must also account for:
  o cost
  o resource implications
  o logistics
  o practicality
• monitoring the implementation and effectiveness of the control measures.

If you are focusing on the implementation you need to cover:

• providing information about the control measures that you’re implementing
• identifying the key people who you need to communicate the changes to
• developing information to provide to staff explaining the changes, such as presentations for staff briefings
• making sure that throughout the implementation the plan is kept up to date with any changes that become necessary; where these are significant, you should provide further information on why they’re now needed
• providing a full report of the progress of the implementations and the effectiveness of the new control measures, along with details for any future reviews.

Example activity sheet (devising option 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>Review risk assessment for loading activities</td>
<td>May 2011</td>
<td>Adequacy of current</td>
<td>(1) Short report on risk assessment, reviewing it’s adequacy</td>
<td></td>
</tr>
<tr>
<td></td>
<td>using forklift trucks</td>
<td></td>
<td>controls evaluated</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Two significant</td>
<td>May 2011</td>
<td>Further</td>
<td>(2) Revised risk</td>
<td></td>
</tr>
<tr>
<td></td>
<td>hazards identified and controls considered</td>
<td>controls devised to better control the hazards</td>
<td>assessment with additional controls highlighted</td>
<td></td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>-------------------------------------------</td>
<td>---------------------------------------------</td>
<td>--------------------------------------------------</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Report and revised risk assessment disseminated for comment</td>
<td>May 2011 Feedback obtained from interested parties</td>
<td>(3) Emails requesting comment, documents attached (4) Replies suggesting some fine tuning of controls</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Produce an improvement implementation programme</td>
<td>June 2011 Programme produced, prioritising controls and actions, and taking all factors into account</td>
<td>(5) Improvement implementation programme (6) Emails sending this to managers</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Monitor implementation and effectiveness of the control measures</td>
<td>July 2011 Spot inspections carried out to check on implementation</td>
<td>(7) Completed check sheets with comments</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
5.2 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, 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
- outline how you ensured effective implementation, including:
  - training
  - staff briefing
  - competence
- demonstrate how you’ll monitor the effectiveness of the SSOW
- explain how the SSOW is documented

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 2010</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</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>(2) Email to head of department highlighting this pattern and recommending the development of a SSOW</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Complete task analysis for using sanding machine</td>
<td>September 2010</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 2010</td>
<td>Consultation and involvement of staff to identify tasks and hazards</td>
<td>(4) Meeting request and details of what it’s about.</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>(5) Report on comments from operatives during the meeting.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Develop draft SSOW</td>
<td>September 2010</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</td>
<td></td>
</tr>
</tbody>
</table>
| 5 | Get manager's approval for process | October 2010 | Got buy-in and approval from management for system of work | (7) Email to my manager explaining what I’ve found and describing my proposed SSOW implementation.  
(8) Email from my manager approving this |
5.3 Developing or implementing health and safety active monitoring systems, including gathering and analysing the appropriate data

You need to review current active monitoring systems, then either make recommendations for improvement or identify alternative active monitoring techniques. Develop the process including supporting documents and by capturing appropriate data and analysis.

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 learnt, whether everything went as planned and whether all steps been covered
- providing details of proposed reviews of the system and how these will be 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):

<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>June 2011</td>
<td>Report on all the active monitoring methods currently used</td>
<td>(1) Copy of report</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Analyse the effectiveness of the systems used</td>
<td>July 2011</td>
<td>Analysis using historical data showing improvements (if any), any identifiable influence on accident rates,</td>
<td>(2) Report on the analysis, making recommendations for improvement (3) Email to director asking for comment,</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Task Description</td>
<td>Due Date</td>
<td>Expected Output</td>
<td>Notes</td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>------------------------------------------------------</td>
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<td>----------------------------------------------------------------------------------</td>
<td>----------------------------------------------------------------------</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Develop appropriate documentation</td>
<td>July 2011</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>July 2011</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>July 2011</td>
<td>Plan issued ready for implementation by target date</td>
<td>(7) Emails to managers with plan attached</td>
<td></td>
</tr>
</tbody>
</table>
5.4 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.

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
- analysing accident reports
- analysing near miss reports
- analysing accident records

Areas to cover:
- demonstrate that you investigated a loss event
- how you heard about the event (e.g. accident report, near miss report, incident report)
- what you did (e.g. visited the site of the event, spoke to people)
- 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. causes, contributory factors)
- what your recommendations were

Example planning 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>Obtained accident report and contacted site to confirm details</td>
<td>June 2011</td>
<td>Initial details confirmed and arrangements made to visit site to conduct investigation</td>
<td>(1) Accident report</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>(2) Emails confirming details</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Visit site and conduct initial investigation</td>
<td>June 2011</td>
<td>Site investigation carried out; interviews, photographs and measurements taken</td>
<td>(3) Short form investigation report</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Review accident data, trends, actions</td>
<td>July 2011</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 2011</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</td>
<td>July 2011</td>
<td>Detailed</td>
<td>(6) Investigation</td>
<td></td>
</tr>
<tr>
<td></td>
<td>investigation report with findings and recommendations</td>
<td>investigation report, identifying all factors, and making recommendations to prevent recurrence</td>
<td>report</td>
<td></td>
<td></td>
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<tr>
<td>---</td>
<td>--------------------------------------------------------</td>
<td>--------------------------------------------------------------------------------</td>
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<td></td>
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<tr>
<td>6</td>
<td>Disseminate report</td>
<td>July 2011</td>
<td>Report sent for comment and approval</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td></td>
<td></td>
<td>(7)Email to director with report attached</td>
<td></td>
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<td></td>
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<td></td>
<td>(8)Reply confirming that report had been discussed at board meeting and approved</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
5.5 Developing or implementing health and safety emergency response systems, and 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
  - environmental impact
  - 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’s policy includes an 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:
- checking that the emergency response system you’ve been asked to implement has taken into account where necessary/appropriate:
  - statutory requirements
  - injury accidents
  - effects of fatalities
  - dangerous occurrences
  - fires and explosions
  - toxic releases
  - major disasters
  - environmental impact
  - 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

If the procedure covers all these aspects, you’ll need to demonstrate that you’ve reviewed them all, for example by submitting as evidence an email you sent to the person who produced the document saying that you’ve reviewed it and are happy that it has taken into account all relevant issues. 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>April 2011</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>May 2011</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>June 2011</td>
<td>Plan sent for consultation, feedback received</td>
<td>(3) Emails to managers asking for comment, plan attached</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>(4) Replies received</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>(5) Minutes of health and safety committee at which plan was discussed</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Review resources needed, training and testing requirements</td>
<td>June 2011</td>
<td>Report produced making recommendations for improvement to enable plan to be put into action</td>
<td>(6) Resources review report</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>(7) Email to director attaching report</td>
<td></td>
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<td></td>
<td></td>
<td></td>
<td>(8) Reply received, confirming that report had been</td>
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<tr>
<td></td>
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<td></td>
<td>discussed at the board meeting and actions approved</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Liaise with emergency services</td>
<td>July 2011</td>
<td>Contact with emergency services established and plan sent for their information (9) Copies of written communication with emergency services</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Disseminate copies of plan to departments</td>
<td>July 2011</td>
<td>Copies of plan available to all staff (10) Controlled distribution list for plan</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
5.6 Developing, implementing and using 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
- ensuring that pre-defined standards are considered in the development
- developing an audit programme
- agreeing the audit programme with managers and directors

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 auditors and checking that they’re competent
- demonstrating that the frequency of audits has been agreed
- reviewing individual elements of the audit system

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 compared the audit data with the identified standards
- you’ve produced a report summarising your findings and highlighting any areas of concerns, along with 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>Agree nature, scope and frequency of audit system</td>
<td>June 2011</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>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Develop question</td>
<td>July 2011</td>
<td>I developed</td>
<td>(2)Sample of</td>
<td></td>
</tr>
<tr>
<td></td>
<td>sets</td>
<td>question sets against the clauses of 18001 for auditors to use</td>
<td>question sets</td>
<td></td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Assemble and agree an audit programme</td>
<td>July 2011</td>
<td>Proposed audit programme devised, circulated, and agreement reached</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>(3) Proposed audit programme</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>(4) Emails to directorate managers asking for feedback</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>(5) Replies, some amendments needed</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Ensure auditors are competent</td>
<td>July 2011</td>
<td>Confirmed that auditors selected to assist had at least the same level of auditor training as me</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>(6) Copies of auditor training certificates</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Carry out audit</td>
<td>July 2011</td>
<td>Audit carried out against 18001 using checklists</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>(7) Example of my completed checklist</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Write audit report</td>
<td></td>
<td>Data extracted from checklist and formal audit report written, with recommendations</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>(8) The audit report</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>