



# Highfield Level 3 End-Point Assessment for ST0550 Safety, Health and Environment (SHE) Technician

End-Point Assessment Kit



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EPA Kit

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### Versions

ST0550 / v1.1 / AP02

SHE 1.12

# How to use this EPA Kit

Welcome to the Highfield end-point assessment kit for the Level 3 Safety, Health and Environment (SHE) Technician apprenticeship standard.

Highfield are an independent end-point assessment organisation that have been approved to offer and carry out the independent end-point assessments for the Level 3 Safety, Health and Environment (SHE) Technician apprenticeship standard. Highfield internally quality assure all end-point assessments in accordance with their IQA process. Additionally, all end-point assessments are externally quality assured by the relevant EQA organisation.

This kit is designed to outline all you need to know about the end-point assessments for this standard and will also provide an overview of the on-programme delivery requirements. In addition, advice and guidance for trainers on how to prepare apprentices for the end-point assessment is included. The approaches suggested are not the only ways in which an apprentice may be prepared for their assessments, but trainers may find them helpful as a starting point.

## **In this kit, you will find:**

- an overview of the standard and any on-programme requirements
- a section focused on delivery, where the standard and assessment criteria are presented in a suggested format that is suitable for delivery
- guidance on how to prepare the apprentice for gateway
- detailed information on which part of the standard is assessed by which assessment method
- suggestions on how to prepare the apprentice for each part of the end-point assessment
- a section focused on the end-point assessment method where the assessment criteria are presented in a format suitable for carrying out 'mock' assessments

# Introduction

## Standard overview

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Working with management and delivery teams to advise on the statutory health, safety and environmental requirements, the SHE technician will be able to work in organisations of varying size and industry. The role could be based in one location or may involve travel across a range of contracts. The role will be partly office based and partly at the work front providing advice to others on how to work without harming themselves or others. The SHE technician will work with the management and delivery team of the organisation to advise on the statutory health, safety and environmental requirements as they affect the company's operations. They will assist the management team in ensuring that the legal and company SHE requirements are implemented.

On a daily basis, the SHE technician will help to develop, review and check on the implementation of risk assessments, safe systems of work, deliver training (e.g. toolbox talks and inductions), investigate incidents/accidents, analyse data and present findings to the management team. The SHE technician will engage with all aspects of the organisation to support the embedment of a culture that ensures everyone is able to return to their family and friends unharmed every day while also protecting and enhancing the global land, air and water resources for future generations. This will be achieved by inspiring and influencing others to see the benefit of working responsibly, understanding the legal framework and showing how safety, health and environmental management can enhance operational activities.

The Institution of Occupational Safety and Health (IOSH) will recognise the SHE apprenticeship, enabling those who have completed the apprenticeship to join IOSH at TechIOSH level.

## On-programme requirements

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Although learning, development and on-programme assessment is flexible and the process is not prescribed, the following is the recommended baseline expectation for an apprentice to achieve full competence in line with the Safety, Health and Environment (SHE) Technician Apprenticeship Standard. Apprentices will be required to demonstrate continuous and sustained progress towards the end-point assessment by completing work as set out by their employer, demonstrating the knowledge and skills required in the relevant role. The period of on-programme training is managed by the employer, usually in partnership with a training provider.

The role of the training provider is to support the apprentice with the on-programme delivery of the standard and they may also support the apprentice with gathering information and evidence for the work project that will be formally assessed during the end-point assessment. They may deliver some classroom-based (off-the-job) training to the apprentice to cover knowledge, as well as conducting on-the-job formative assessments and progress reviews to ready the apprentice for gateway and end-point assessment.

The training programme leading to end-point assessment should cover the breadth and depth of the standard, using suggested on-programme assessment methods that integrate the knowledge, skills and behaviour components and that ensure that the apprentice is sufficiently prepared to undertake the end-point assessment. Once the apprentice is deemed competent, the relevant section(s) of the standard should be signed off by both the on-programme assessor and employer. Training, development and ongoing review activities should include:

- achievement of level 2 English and maths. If the apprentice began their apprenticeship training before their 19th birthday, they will still be subject to the mandatory requirement to study towards and achieve English and maths. The requirements for English and maths are optional for apprentices aged 19+ at the start of their apprenticeship training.
- achievement of level 1 ICT.
- completion of a portfolio through which the apprentice gathers evidence of their progress.
- study days and training courses.
- mentoring/buddy support.
- regular performance reviews undertaken by the employer.
- structured one-to-one reviews of their progress with their employer and/or training provider.

### **Portfolio of evidence**

The apprentice will produce a portfolio that is mapped against the requirements of the standard and will be the basis of the professional discussion. The portfolio will cover a wider range of work than the work project and will include the following mandatory elements:

- examples of work completed that fulfil the discussion requirements of assessment criteria
- reflective accounts of work completed
- evidence of feedback from line manager and colleagues on performance

The portfolio could also include the following optional elements:

- preparation notes/meeting minutes
- programme for delivery of the work
- project reports

- customer/stakeholder feedback
- observation reports by the employer or training provider

The evidence contained in the portfolio will be validated by the employer or training provider and will represent all the skills and behaviours contained within the standard. Typically, 2 pieces of evidence will be provided for each of the 11 'discussion' elements from the standard, providing a total of 22 pieces of evidence (+/-10%).

The maintenance of a portfolio of evidence is important to support the apprentice, on-programme assessor and employer in monitoring the progress of learning and development and to determine when the apprentice has achieved full competence in their job role and is ready for end-point assessment.

The portfolio must be accompanied by a portfolio matrix. This can be downloaded from our website. The portfolio matrix must be fully completed, including a declaration by the employer and the apprentice to confirm that the portfolio is valid and attributable to the apprentice.

The portfolio of evidence must be submitted to Highfield at gateway. It is not directly assessed but underpins the professional discussion.

## **Use of Artificial Intelligence (AI) in the EPA**

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Where AI has been used as part of the apprentice's day-to-day work and forms part of a project report, presentation, or artefact, it should be referenced as such within the work. AI must not be used to produce the report or portfolio.

Where AI has been used as part of a portfolio that underpins an interview or professional discussion or any other assessment method, it should be fully referenced within the portfolio.

## **Additional, relevant on-programme qualification**

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There are no mandatory qualifications for this standard, however, employers may wish to include relevant qualifications to help structure the on-programme delivery.

## **Readiness for end-point assessment**

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For an apprentice to be ready for the end-point assessments:

- achieved level 2 English and maths. The requirements for English and maths are mandatory for all apprentices aged between 16-18 at the start of their apprenticeship training. The requirements for English and maths are optional for apprentices aged 19+ at the start of their apprenticeship training.

- achieved level 1 ICT. It is also recommended that the apprentice is digitally literate where this is important to their role.
- it is recommended that the apprentice is supported to become digitally literate where this is important to their role.
- the apprentice must have gathered a portfolio of evidence against the required elements to be put forward to be used as the basis for the professional discussion.
- the employer must also have completed and submitted the 'employer information sheet' which is available to download from the Highfield Assessment website. This is used to gather information from the employer to determine the requirements/suitability to assess on site and ensure a suitable assessor can be assigned to the requirements.
- the employer must be confident that the apprentice has developed all the knowledge, skills and behaviours defined in the apprenticeship standard and that the apprentice is competent in performing their role. To ensure this, the apprentice must attend a formal meeting with their employer to complete the gateway readiness report.
- the apprentice and the employer should then engage with Highfield to agree a plan and schedule for each assessment activity to ensure all components can be completed within an **8-month end-point assessment window**. Further information about the gateway process is covered later in this kit.

If you have any queries regarding the gateway requirements, please contact your EPA Customer Engagement Manager at Highfield Assessment.

## Order of end-point assessments

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The knowledge exam must be the first assessment component, followed by the work project and associated presentation and finally, the professional discussion.

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# The Highfield approach

This section describes the approach Highfield has adopted in the development of this end-point assessment in terms of its interpretation of the requirements of the end-point assessment plan and other relevant documents.

## **Documents used in developing this end-point assessment**

Standard (2018)

<https://skillsengland.education.gov.uk/apprenticeships/st0550-v1-1>

End-point assessment plan (ST0550/v1.1/AP02)

[https://skillsengland.education.gov.uk/media/3200/st0550\\_safety-health-and-environment-technician\\_l3\\_ap-ready-for-publication\\_v02\\_100619.pdf](https://skillsengland.education.gov.uk/media/3200/st0550_safety-health-and-environment-technician_l3_ap-ready-for-publication_v02_100619.pdf)

## **Specific considerations**

All of the evidence criteria used within this end-point assessment have been taken directly from the SHE technician standard: assessment plan, Annex 1.

There is a 6-month EPA period to be used for the undertaking of the required project, including the writing of the report and the presentation.

Due to the publication of the Flexibility Framework document, the stipulated order of assessment methods has been removed in order to allow for increased flexibility in delivering end-point assessments. Therefore, there is now no longer a requirement to complete and pass the knowledge exam before moving onto the next assessment method.

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# Gateway

## How to prepare for gateway

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After apprentices have completed their on-programme learning, they should be ready to pass through 'gateway' to their end-point assessment.

Gateway is a meeting that should be arranged between the apprentice, their employer and training provider to determine that the apprentice is ready to undertake their end-point assessment. The apprentice should prepare for this meeting by bringing along work-based evidence, including:

- customer feedback
- recordings
- manager statements
- witness statements

As well as evidence from others, such as:

- mid and end-of-year performance reviews
- feedback to show how they have met the apprenticeship standards while on-programme

In advance of gateway, apprentices will need to have completed the following. The requirements for English and maths listed below are mandatory for all apprentices aged between 16-18 at the start of their apprenticeship training. The requirements for English and maths listed below are optional for apprentices aged 19+ at the start of their apprenticeship training.

- Achieved level 1 ICT
- Achieved level 2 English
- Achieved level 2 Maths
- Submitted a suitable portfolio of evidence to be used as the basis for the professional discussion (see the portfolio of evidence matrix sheet)

In advance of gateway, employers will need to have:

- completed and submitted the employer information sheet

Therefore, apprentices should be advised by employers and providers to gather this evidence and undertake these qualifications during their on-programme training. It is recommended that employers and providers complete regular checks and reviews of this evidence to ensure the apprentice is progressing and achieving the standards before the formal gateway meeting is arranged.

## The gateway meeting

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The gateway meeting should last around 1 hour and must be completed on or after the apprenticeship on-programme end date. It should be attended by the apprentice and the relevant people who have worked with the apprentice on-programme, such as the line manager/employer or mentor, the on-programme trainer/training provider and/or a senior manager (as appropriate to the business). During the meeting, the apprentice, employer and training provider will discuss the apprentice's progress to date and confirm if the apprentice has met the full criteria of the apprenticeship standard during their on-programme training.

The gateway readiness report should be used to log the outcomes of the meeting and should be agreed by all 3 parties. This report is available to download from the Highfield Assessment website. The report should then be submitted to Highfield to initiate the end-point assessment process. If you require any support completing the gateway readiness report, please contact your EPA Customer Engagement Manager at Highfield Assessment.

**Please note:** a copy of the standard should be available to all attendees during the gateway meeting.

### Reasonable adjustments and special considerations

Highfield Assessment has measures in place for apprentices who require additional support. Please refer to the Highfield Assessment Reasonable Adjustments Policy for further information/guidance.

### ID requirements

All employers are required to ensure that each apprentice has their identification with them on the day of assessment so the end-point assessor/Highfield Assessment can check that the person undertaking the assessment is indeed the person they are claiming to be.

Highfield Assessment will accept the following as proof of an apprentice's identity:

- a valid passport (any nationality)
- a signed UK photocard driving licence
- a valid warrant card issued by HM forces or the police
- another photographic ID card, for example, employee ID card or travel card

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# The Safety, Health and Environment (SHE) Technician apprenticeship standard

The following pages contain the Level 3 Safety, Health and Environment (SHE) Technician Apprenticeship Standard and the assessment criteria in a format that is suitable for delivery.

## Code of conduct for good safety, health and environment (SHE) working practices

| Knowledge                                                                                                                                       | Behaviour                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
|-------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>K1:</b> The <b>moral</b> reasons for good safety, health and environmental working practices, ensuring no harm to people or the environment. | <p><b>B3:</b> Contribute to a positive SHE culture. Challenge behaviour that is inconsistent with SHE culture, respect the culture and values of others in contributing a positive SHE culture. Positively influence behaviour in others to achieve desired outcomes and resolve conflicts.</p> <p><b>B7:</b> Commit to equality and diversity: apply attributes of equality and diversity to meet the requirements of fairness at work.</p> <p><b>B6:</b> Apply the code of ethics: work within rules and regulations of professional competence and code of conduct as defined by a professional institution. Be able to resist pressures to allow others to utilise unsafe working practices.</p> |
| Knowledge exam                                                                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| Pass criteria                                                                                                                                   | Distinction criteria                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| <b>K1.1:</b> Demonstrates a theoretical understanding of <b>moral</b> reasons for safety, health and environment. (K1)                          | <b>K1.2:</b> Demonstrates an applied understanding of <b>moral</b> reasons for safety, health and environment, with an example of each. (K1)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| Work project and associated presentation                                                                                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| Pass criteria                                                                                                                                   | Distinction criteria                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| <b>B3.1:</b> Demonstrates an understanding of how to influence SHE culture. (B3)                                                                | <b>B3.2:</b> Demonstrates actions that lead (beyond the 'contribute' requirement) and can demonstrate a sustained change in culture. (B3)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                          |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------|
| <b>B7.1:</b> Can demonstrate implementation of the organisation's equality and diversity requirements. (B7)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | <b>B7.2:</b> Can demonstrate creating new procedures or ways of working that promote equality or diversity. (B7)                         |
| <b>Professional discussion</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                                          |
| <b>Pass criteria</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | <b>Distinction criteria</b>                                                                                                              |
| <b>B6.1:</b> Can demonstrate applying the professional institution code of conduct to their workplace. (B6)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | <b>B6.2:</b> Can demonstrate applying the professional institution code of conduct to their workplace and can suggest improvements. (B6) |
| <b>Amplification and guidance</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                                                                                          |
| <ul style="list-style-type: none"> <li>• <b>Moral</b> <ul style="list-style-type: none"> <li>○ The mental, physical and social well-being of employees and the benefits this brings to the organisation</li> <li>○ Benefits of implementing safety management systems such as protecting workers, retaining staff and boosting company reputation</li> <li>○ Effects of ill health and accidents on families, friends and colleagues</li> <li>○ Costs to society – NHS, rehabilitation, investigation</li> <li>○ Social responsibilities to care for others who may be affected by the organisation's activities</li> <li>○ Methods employers can use to demonstrate a moral commitment such as environmental policies or wellbeing campaigns</li> <li>○ Ways a safety, health and environment technician can assist employers with their moral and ethical duty of care</li> </ul> </li> </ul> |                                                                                                                                          |

## SHE legislation, methods and theories

| Knowledge                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | Skill                                                                                                                                                                                                                                                                                                                                                                   |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><b>K2:</b> The statutory health, safety and environmental <b>legislation and sources of associated guidance and information</b> applicable to their working environment.</p> <p><b>K6:</b> The difference between occupational hygiene, health surveillance and health and well-being campaigns and methods for implementing these in the workplace.</p> <p><b>K10:</b> <b>Theories for incident causation and prevention</b> including behavioural considerations and implications on <b>business risk</b>.</p> | <p><b>S8:</b> Prepare and maintain records relating to safety, health or environmental matters that comply with <b>legal and workplace requirements</b> and are accessible to those who are authorised to use them.</p> <p><b>S10:</b> Research safety, health and environmental issues and best practices. Review updates of <b>health and safety regulations</b>.</p> |
| Knowledge exam                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                                                                                                                                                                                                                                                                                                                         |
| Pass criteria                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | Distinction criteria                                                                                                                                                                                                                                                                                                                                                    |
| <p><b>K2.1:</b> Can demonstrate an understanding of key statutory health, safety and environmental <b>legislation and sources of associated guidance and information</b>. (K2)</p>                                                                                                                                                                                                                                                                                                                                  | <p><b>K2.2:</b> Can demonstrate an understanding of key statutory health, safety and environmental <b>legislation and sources of associated guidance and information</b> and how these are applied in their own working environment. (K2)</p>                                                                                                                           |
| <p><b>K6.1:</b> Can demonstrate an understanding of the differences between <b>occupational hygiene, health surveillance and health and well-being campaigns</b>. (K6)</p>                                                                                                                                                                                                                                                                                                                                          | <p><b>K6.2:</b> Can demonstrate an understanding of the differences between <b>occupational hygiene, health surveillance and health and well-being campaigns</b> and gives examples of implementing these in the workplace. (K6)</p>                                                                                                                                    |
| <p><b>K10.1:</b> Can demonstrate an understanding of <b>theories for incident causation and prevention</b>. (K10)</p>                                                                                                                                                                                                                                                                                                                                                                                               | <p><b>K10.2:</b> Can demonstrate an understanding of <b>theories for incident causation and prevention</b> and provide examples of applying the theory in the workplace. (K10)</p>                                                                                                                                                                                      |

| Professional discussion                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                           |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------|
| Pass criteria                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | Distinction criteria                                                                                                      |
| <b>S8.1:</b> Can demonstrate preparing and maintaining legal or workplace SHE records. (S8)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | <b>S8.2:</b> Can demonstrate improvements to processes for preparing and maintaining legal or workplace SHE records. (S8) |
| <b>S10.1:</b> Can demonstrate research to improve systems or processes. (S10)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | <b>S10.2:</b> Can demonstrate research and application in the workplace to improve systems or processes. (S10)            |
| Amplification and guidance                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                                                                           |
| <ul style="list-style-type: none"> <li>• <b>Legislation and sources of associated guidance and information</b> <ul style="list-style-type: none"> <li>○ Examples include: <ul style="list-style-type: none"> <li>▪ Health and Safety at Work etc. Act 1974</li> <li>▪ Management of Health and Safety at Work Regulations 1999</li> <li>▪ Environmental Protection Act 1990</li> <li>▪ Environment Act 1995</li> <li>▪ Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR)</li> <li>▪ Regulatory Reform (Fire Safety) Order 2005</li> </ul> </li> <li>○ Health and Safety Executive (HSE) website</li> <li>○ Health and Safety Executive (HSE) Approved Codes of Practice (ACOPs)</li> <li>○ Health and Safety Executive (HSE) statistics</li> <li>○ Trade associations</li> <li>○ Professional bodies</li> <li>○ Internal documentation including accident/incident investigations, audits and inspections</li> <li>○ Consultation with safety representatives, safety committee and others</li> </ul> </li> <li>• <b>Occupational hygiene</b> <ul style="list-style-type: none"> <li>○ Health risks associated with their own working environment/occupation</li> <li>○ Occupational ill health is a health condition that is caused or made worse by the job someone does</li> <li>○ Effects of occupational ill health – acute and chronic</li> <li>○ Categories of ill health: <ul style="list-style-type: none"> <li>▪ chemical</li> </ul> </li> </ul> </li> </ul> |                                                                                                                           |

- toxic substances
- dusts
- fibres
- gases
- physical
  - noise
  - lasers
  - vibration
  - radiation
  - thermal
  - ergonomics
- biological agents
  - legionella
  - blood-borne diseases
- psychological
  - stress
  - violence bullying

- **Health surveillance**

- Methods of health surveillance such as blood tests, hearing tests or lung function tests
- Legal requirements to carry out health surveillance including COSHH (Control of Substances Hazardous to Health), Management of Health & Safety at Work Regulations and Noise at Work Regulations
- Other reasons to carry out health surveillance such as risk assessment findings, ill health records or changes in work activity

- **Health and well-being campaigns**

- Healthy workplace campaigns
- How these can be implemented and measured in the working environment:
  - key factors in determining a positive working environment
  - relationships

- consultation process, involving employees in decisions
  - job design
  - flexible working hours
  - recognition of occupational health issues
  - violence and bullying policies
  - stress policy – HSE (Health and Safety Executive) Management standards
  - realistic targets
- An **incident** is an event that does not result in injury, damage or loss but may interrupt the work process
  - **Theories for incident causation and prevention**, such as James Reason’s Swiss Cheese model, Heinrich and Hertzberg theories (Domino, Competency Matrix), the ‘5 whys’ root cause analysis
    - Types of incidents or adverse events
    - Accident triangles and their limitations
    - Simple root cause analysis the ‘5 whys’ - benefits and limitations
    - Human factors (HSG 48) The job, individual and organisation – the influence of human error and failures in management
    - ‘Swiss Cheese’ model, active and latent failures
    - Domino theory (Heinrich) sequence of events that result in the accident; removing one of the events will prevent the accident
    - Recognising that most accidents do not have one single cause and that accident causation is complex
    - Reviewing organisation’s risk assessments and documents such as accident records to assess the effectiveness of current controls
    - Identifying immediate causes and underlying root causes
  - **Business risk**
    - Legal reasons:
      - e.g. fines, prison, legal fees
      - compensation
      - insurance
    - Financial reasons:
      - loss of business
      - product and material damage

- production delays
- cost of investigations
- sick pay
- reputation, lost work etc.
- **Legal and workplace requirements** – e.g. records associated with Provision and Use of Work Equipment Regulations, Lifting Operation and Lifting Equipment Regulations, Noise at Work Regulations, Hand Arm Vibration Regulations or Environmental Permitting Regulations
  - The main legal framework and laws relating to health and safety and environmental protection:
    - civil law:
      - negligence and associated defences
      - claim management
      - employer liability insurance
    - criminal law:
      - duty holders
      - levels of statutory duty - reasonably practicable, practicable and absolute
  - Key sections of the Health & Safety at Work etc. Act 1974:
    - employer and employee duties
      - section 2 and 3
      - section 7 and 8
      - section 36 and 37
      - the relationship that exists in UK legislation between acts, regulations, European law, ACoPs (Approved codes of Practice) and guidance
      - enforcement of the legislation
      - enforcement bodies and powers of enforcement officers applicable to their workplace
      - penalties for non-compliance
  - Means of defending claims and prosecution:
    - records – training, maintenance, SFARP (So Far As Reasonably Practicable) risk assessments, accident records etc.
    - records to confirm compliance with Regulations:
    - RIDDOR (Reporting of Injuries, Diseases and Dangerous Occurrences Regulations), Social security Act (accident book)
    - LOLER (Lifting Operations and Lifting Equipment Regulations)
    - PUWER (Provision and Use of Work Equipment Regulations)

- The content of the main regulations applicable to all workplaces:
  - Workplace (Health, Safety and Welfare) Regulations
  - welfare provision – sanitary and washing facilities
  - environment – ventilation, temperature, lighting, flooring, room space
  - floors and traffic routes
  - maintenance
  - workstations and seating
- **Health and safety regulations** – e.g. changes to Construction (Design and Management) Regulations or updates to the Control of Substances Hazardous to Health Regulations along with workplace instructions, making sure that information is from reliable sources
  - Management of Health & Safety at Work Regulations:
    - employer's duties:
      - complete suitable and sufficient risk assessments
      - manage health and safety (reg 5)
      - plan for emergencies
      - cooperation and coordination with others
      - young persons
      - new or expectant mothers
      - competent assistance
      - the definition of competence and know their own limitations and others
      - information for employees
      - health surveillance
    - employee's duties:
      - report shortcomings
      - follow instruction and training
  - Content of regulations specific to their own workplace/organisation. For example:
    - Control of Substances Hazardous to Health
    - Manual Handling
    - Provision and Use of Work Equipment
    - Lifting Operations and Lifting Equipment

- Health and Safety (Display Screen Equipment)
- Health and Safety (First Aid)
- Noise at Work regulations
- CDM (Construction, Design and Management)

## SHE management systems

| Knowledge                                                                                                                                                                                                                                                                                                                                                         | Skill                                                                                                                                                                                                                                                                                                                                 |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><b>K3:</b> How a <b>SHE management system</b> works, the <b>range of standards</b> which a typical HSE professional would be involved with and, if applicable, how these are applied in their working environment.</p> <p><b>K7:</b> How to plan and have systems in place to <b>manage change</b> during an activity relevant to the working environment.</p> | <p><b>S2:</b> Assist the management team in the development, management, implementation and monitoring of the safety, health and environmental management system by updating systems in line with changes in legislation or best practice, delivering training, coaching operational teams and undertaking workplace inspections.</p> |
| Knowledge exam                                                                                                                                                                                                                                                                                                                                                    |                                                                                                                                                                                                                                                                                                                                       |
| Pass criteria                                                                                                                                                                                                                                                                                                                                                     | Distinction criteria                                                                                                                                                                                                                                                                                                                  |
| <b>K3.1:</b> Can demonstrate an understanding of how a <b>SHE management system</b> works, and the <b>range of standards</b> used. (K3)                                                                                                                                                                                                                           | <b>K3.2:</b> Can demonstrate an understanding of how a <b>SHE management system</b> works, the <b>range of standards</b> used and how these are applied <b>beyond their own working environment (e.g. other industries)</b> . (K3)                                                                                                    |
| <b>K7.1:</b> Can demonstrate an understanding of how to <b>manage change</b> . (K7)                                                                                                                                                                                                                                                                               | <b>K7.2:</b> Can demonstrate an understanding of how to <b>manage change</b> and provides a workplace example from <b>beyond their working environment</b> . (K7)                                                                                                                                                                     |
| Work project and associated presentation                                                                                                                                                                                                                                                                                                                          |                                                                                                                                                                                                                                                                                                                                       |
| Pass criteria                                                                                                                                                                                                                                                                                                                                                     | Distinction criteria                                                                                                                                                                                                                                                                                                                  |
| <b>S2.1:</b> Can demonstrate supporting the development, management and implementation of <b>SHEMS</b> . (S2)                                                                                                                                                                                                                                                     | <b>S2.2:</b> Has led the development, management and implementation of a particular topic within the <b>SHEMS</b> . (S2)                                                                                                                                                                                                              |

### Amplification and guidance

- **SHE management system (SHEMS)**
  - Benefits of safety management system such as positive health and safety culture
  - A system that continually manages and improves safety performance
- **Range of standards**
  - How health and safety is managed in the workplace to comply with legislation
  - The range of standards available. For example:
    - OHSAS 18001
    - ISO 45001
    - ISO 14001
    - Managing for Health and Safety (HSG65) (PDCA – Plan, Do, Check, Act)
  - The content of one standard and how it is applied in their workplace
  - Benefits of the standard to the organization
- **Managing change**
  - Methods to introduce a new safe system of work and apply this to the workplace such as staff involvement/consultation and training
  - Methods to introduce changes to work procedures such as briefings or toolbox talks
  - Methods to introduce new equipment such as training, updating risk assessments, designing a safe system of work and implementing a maintenance programme
  - Methods to build an effective safety culture
  - Advantages and disadvantages of different methods used to introduce changes to work procedures
  - Benefits of consultation, communication, cooperation and coordination in managing change
  - Methods to reduce risk of work-related stress caused by changes
- **Beyond their own working environment**, e.g. other industries
- **SHEMS** – safety, health and environment management system

## Risk assessments

| Knowledge                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | Skill                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><b>K4: Appropriate methods</b> for identifying, evaluating and controlling hazards relevant to their workplace and involving people who are experienced in the activity.</p> <p><b>K5:</b> The range of work activities in a given situation and <b>identify how to prioritise the hazards</b> with the potential to cause harm and/or loss.</p> <p><b>K8:</b> How people think and why they make decisions which can lead to risk, how behaviours can be used, the <b>components of a behavioural program</b> and <b>potential blockers</b> to the successful implementation of a behavioural programme.</p> | <p><b>S4:</b> Identify the hazards and evaluate:</p> <ol style="list-style-type: none"> <li>1. Workplace instructions that are relevant to the individual's job</li> <li>2. Working practices in the individual's job that may harm themselves or others</li> <li>3. Aspects of the individual's job that could harm themselves or others</li> <li>4. Which of the potentially harmful working practices and aspects of the individual's work present the highest risks to themselves or others</li> <li>5. How to deal with hazards in accordance with workplace instructions and legal requirements</li> </ol> |
| Knowledge exam                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| Pass criteria                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Distinction criteria                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| <b>K4.1:</b> Can demonstrate an understanding of <b>appropriate methods</b> for identifying, evaluating and controlling hazards. (K4)                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | <b>K4.2:</b> Can demonstrate an understanding of <b>appropriate methods</b> for identifying, evaluating and controlling hazards and how these are implemented in their working environment. (K4)                                                                                                                                                                                                                                                                                                                                                                                                                 |
| <b>K5.1:</b> Can <b>identify and prioritise the hazards</b> with the potential to cause harm and/or loss. (K5)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | <b>K5.2:</b> Can <b>identify and prioritise the hazards</b> with the potential to cause harm and/or loss and provide examples from the workplace. (K5)                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| <b>K8.1:</b> Can demonstrate an understanding of the <b>components of a behavioural program</b> and <b>potential blockers</b> that need to be overcome. (K8)                                                                                                                                                                                                                                                                                                                                                                                                                                                     | <b>K8.2:</b> Can demonstrate an understanding of the <b>components of a behavioural program, potential blockers</b> that need to be overcome and workplace examples of implementation. (K8)                                                                                                                                                                                                                                                                                                                                                                                                                      |

| Work project and associated presentation                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                                                                                                                                                           |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Pass criteria                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | Distinction criteria                                                                                                                                                                                      |
| <b>S4.1:</b> Demonstrates identifying and evaluating hazards relevant to the workplace worked in. (S4)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | <b>S4.2:</b> Demonstrates identifying and evaluating hazards relevant to the workplace worked in and also demonstrates examples of new control measures implemented to reduce risk to the workforce. (S4) |
| Amplification and guidance                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                                                                                                                                                                                                           |
| <ul style="list-style-type: none"> <li>• <b>Appropriate methods</b> <ul style="list-style-type: none"> <li>○ The hazards in their working environment identified through risk profiling, accident investigation, industry guidance and legislation</li> <li>○ Complete suitable and sufficient risk assessments using the 5-step approach or similar that has a method of evaluating risk and ensuring risks are reduced so far as is reasonably practicable</li> <li>○ Hierarchy of control and its objectives, demonstrated in controlling risk such as excessive noise levels or working at height</li> <li>○ Develop an action plan to introduce new controls</li> </ul> </li> <li>• <b>Identify and prioritise hazards</b> <ul style="list-style-type: none"> <li>○ Definitions of hazards and risks <ul style="list-style-type: none"> <li>▪ A hazard is something with the potential to cause harm</li> <li>▪ Risk is the likelihood that harm will occur</li> </ul> </li> <li>○ Methods to identify and prioritise hazards such as risk assessments or workplace inspections</li> <li>○ Examples of hazards to different workplaces such as offices or warehouses</li> <li>○ Factors that affect risk including human, organizational and environmental</li> </ul> </li> <li>• <b>Components of a behavioural program</b> <ul style="list-style-type: none"> <li>○ Indicators of a positive safety culture within the workplace</li> <li>○ Methods to improve employees' perceptions of hazards and how these can be implemented in the workplace</li> </ul> </li> <li>• <b>Potential blockers</b> <ul style="list-style-type: none"> <li>○ Human factors that may contribute to accidents in the workplace including lack of knowledge/training, attitude or poor safety culture</li> <li>○ Methods to overcome these potential blockers such as training, supervision and consultation with employees</li> </ul> </li> </ul> |                                                                                                                                                                                                           |

## Measuring performance and accident investigation

| Knowledge                                                                                                                                          | Skill                                                                                                                                                                                                                                                                                                                                                                                                                                                |
|----------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>K9:</b> How to <b>plan for safety, health or environmental emergencies</b> – e.g. accidents, exposure to hazardous substances, fire, pollution. | <b>S7:</b> Undertake and/or assist with the <b>monitoring</b> , analysis of and reporting of SHE performance.<br><br><b>S6:</b> Support and assist in the implementation of SHE inspections and monitoring systems demonstrating the balance between enforcement and internal support.<br><br><b>S11:</b> Assist and/or manage the investigation of accidents, incidents, dangerous occurrences, <b>near misses</b> and other incidents as directed. |
| Knowledge exam                                                                                                                                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| Pass criteria                                                                                                                                      | Distinction criteria                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| <b>K9.1:</b> Can demonstrate an understanding of how to <b>plan for safety, health or environmental emergencies</b> . (K9)                         | <b>K9.2:</b> Can demonstrate an understanding of how to <b>plan for safety, health or environmental emergencies</b> and has workplace examples of practice exercises to test the plan. (K9)                                                                                                                                                                                                                                                          |
| <b>S7.1:</b> Can demonstrate assisting in <b>monitoring</b> and analysis of SHE performance. (S7)                                                  | <b>S7.2:</b> Can demonstrate improving <b>monitoring</b> and analysis of SHE performance. (S7)                                                                                                                                                                                                                                                                                                                                                       |
| Professional discussion                                                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| Pass criteria                                                                                                                                      | Distinction criteria                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| <b>S6.1:</b> Can demonstrate assisting in the implementation of SHE inspections and monitoring systems. (S6)                                       | <b>S6.2:</b> Can demonstrate assisting and improving in the implementation of SHE inspections and monitoring systems. (S6)                                                                                                                                                                                                                                                                                                                           |
| <b>S11.1:</b> Can demonstrate managing or assisting in an incident investigation. (S11)                                                            | <b>S11.2:</b> Can demonstrate leading an incident investigation and embedding the lessons learnt. (S11)                                                                                                                                                                                                                                                                                                                                              |

## Amplification and guidance

- **Safety, health and environmental emergencies**
  - Fire
  - Explosions
  - Accidents
  - Flooding
  - Pollution
  - Exposure to hazardous substances such as asbestos fibres or toxic gases/fumes
- **Plan for safety, health and environmental emergencies**
  - Develop emergency procedures to show compliance with Management of Health & Safety at Work Regulations such as rescue plans, first aid facilities and emergency first aid equipment
  - Factors to consider when developing an emergency procedure such as safe evacuation, responsible people, contacting emergency services and how to raise the alarm
  - Methods to ensure emergency procedures are communicated and understood
- **Monitoring** health and safety in the workplace
  - Examples of reactive methods:
    - accident investigation, reports or review
    - monitoring of sickness absence
    - reviewing performance reports
  - Examples of proactive methods:
    - regular safety inspections and audits
    - surveys
    - health and safety training or toolbox talks
    - safety committees
  - Benefits and shortcomings of reactive and proactive methods
  - Methods to improve monitoring and analysis of health and safety
- **Near misses** – a narrowly avoided collision or other accident

## Communication and presentation

| Knowledge                                                                                                                                                                                                     | Skill                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | Behaviour                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>K11:</b> How to write and present a <b>business justification</b> to influence managers.                                                                                                                   | <b>S1:</b> Present and hold an audience's attention, for example when delivering SHE training, toolbox talks, inductions or presenting data or investigation findings to the workforce or management team. Show they can sell the SHE message, have personal impact, deal with challenges, evaluate personal performance, use appropriate language for the audience.<br><br><b>S9:</b> Assist the management team in establishing, managing or maintaining relationships with <b>external stakeholders</b> and others as required and directed.<br><br><b>S13:</b> Recognising situations where the activity will benefit from contributions and expertise of other <b>internal departments</b> . | <b>B1:</b> Communicate effectively: be able to contribute effectively in both spoken and written styles, adapting to the audience to present information or training in an assertive, engaging way.<br><br><b>B2:</b> Work effectively in a team: be able to work with others (colleagues, suppliers, clients, contractors and the public) and lead by example in a collaborative and non-confrontational way. Be able to adjust to change in relation to the requirements of the organisation. |
| Work project and associated presentation                                                                                                                                                                      |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| Pass criteria                                                                                                                                                                                                 | Distinction criteria                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| <b>K11.1:</b> Can demonstrate an understanding of how to write and present a <b>business justification</b> with workplace example. (K11)                                                                      | <b>K11.2:</b> Can demonstrate an understanding of how to write and present a <b>business justification</b> and reflects on how they would improve if undertaking the task again. (K11)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| <b>S1.1:</b> Mostly holds attention and presents with occasional referral to notes. (S1)<br><b>S1.2:</b> Uses appropriate language. (S1)<br><b>S1.3:</b> Can reflect on personal performance when asked. (S1) | <b>S1.4:</b> Exceeds standard requirement via a range of presentation techniques. (S1)<br><b>S1.5:</b> Answers questions from the end-point assessor with confidence. (S1)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |

|                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                                                                                                                                        |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                                                                                                                                                                                                                                                                                                                                                                                     | <b>S1.6:</b> Demonstrates where presentation feedback has been proactively gained and used to aid personal reflection on performance during the work project. (S1)                                     |
| <b>B1.1:</b> Presents with occasional referral to notes. (B1)<br><b>B1.2:</b> Clear alignment between work project report and the presentation. (B1)<br><b>B1.3:</b> Engages with the audience at times. (B1)                                                                                                                                                                                       | <b>B1.4:</b> Presents confidently without referring to notes. (B1)<br><b>B1.5:</b> Clear alignment between work project report and the presentation. (B1)<br><b>B1.6:</b> Is engaging throughout. (B1) |
| <b>B2.1:</b> Provides evidence they have worked within a team that they have worked in a collaborative and adaptable way. (B2)                                                                                                                                                                                                                                                                      | <b>B2.2:</b> Provides evidence that they have led a team. (B2)<br><b>B2.3:</b> Demonstrating that they have worked in a collaborative and adaptable way to prevent potential conflict. (B2)            |
| <b>Professional discussion</b>                                                                                                                                                                                                                                                                                                                                                                      |                                                                                                                                                                                                        |
| <b>Pass criteria</b>                                                                                                                                                                                                                                                                                                                                                                                | <b>Distinction criteria</b>                                                                                                                                                                            |
| <b>S9.1:</b> Can demonstrate assisting the management team in maintaining existing relationships with <b>external stakeholders</b> . (S9)                                                                                                                                                                                                                                                           | <b>S9.2:</b> Can demonstrate independently establishing or managing new relationships with <b>external stakeholders</b> . (S9)                                                                         |
| <b>S13.1:</b> Can demonstrate gaining contributions and expertise of other internal departments. (S13)                                                                                                                                                                                                                                                                                              | <b>S13.2:</b> Can demonstrate working with other internal departments to achieve mutual benefits to both departments. (S13)                                                                            |
| <b>Amplification and guidance</b>                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                                                        |
| <ul style="list-style-type: none"> <li>• <b>Business justification</b> – e.g. cost/benefit analysis to influence managers</li> <li>• <b>External stakeholders</b> – such as local authorities, Health and Safety Executive, Environment Agency, Occupational Health, Occupational Hygienists</li> <li>• <b>Internal departments</b> – such as HR, finance, IT and/or Occupational Health</li> </ul> |                                                                                                                                                                                                        |

## Work instructions and implementation

| Skill                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | Behaviour                                                                                                                                                      |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><b>S3:</b> Provide advice on the practical implementation of the company's SHE policies and processes applying generic industry guidance into the context of the workplace.</p> <p><b>S12:</b> Recognising where decisions have a financial cost and assisting to develop a budget.</p> <p><b>S5:</b> Support the practical application of the workplace instructions and suppliers' or manufacturers' instructions for the safe use of equipment, materials and products.</p> | <p><b>B4:</b> Drive innovation: be able to identify areas for improvement and suggest sustainable innovative solutions.</p>                                    |
| Work project and associated presentation                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                                                                                                                |
| Pass criteria                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | Distinction criteria                                                                                                                                           |
| <b>S3.1:</b> Can demonstrate providing advice and applying industry guidance in the workplace. (S3)                                                                                                                                                                                                                                                                                                                                                                               | <b>S3.2:</b> Has developed new tools to provide advice and applying industry guidance in the workplace. (S3)                                                   |
| <b>S12.1:</b> Can demonstrate where finance has been considered and the apprentice has assisted to develop a budget, e.g. with their line manager. (S12)                                                                                                                                                                                                                                                                                                                          | <b>S12.2:</b> Can demonstrate where finance has been considered, a budget developed independently and implemented in the workplace. (S12)                      |
| Professional discussion                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                                                                                                                |
| Pass criteria                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | Distinction criteria                                                                                                                                           |
| <b>B4.1:</b> Can provide an example of an area for improvement and a suggested sustainable innovative solution. (B4)                                                                                                                                                                                                                                                                                                                                                              | <b>B4.2:</b> Can provide an example of an area for improvement that they identified, the solution they implemented and the outcome of their intervention. (B4) |
| <b>S5.1:</b> Can show application of workplace, suppliers or manufacturers' instructions. (S5)                                                                                                                                                                                                                                                                                                                                                                                    | <b>S5.2:</b> Can show <b>application and improvement</b> of workplace, suppliers or manufacturers' instructions. (S5)                                          |

### Amplification and guidance

- **Application and improvement** – show the ability to improve a process as well as following instructions

## Personal development

### Behaviour

**B5:** Use their professional judgement: be able to work within own level of competence, know when to seek advice from others.

**B8:** Continue their professional development: identify own development needs and take action to meet those needs. Use own knowledge and expertise to help others when requested.

### Professional discussion

#### Pass criteria

**B5.1:** Can recognise the limitations of their own competence. (B5)

**B8.1:** Can identify own development needs and has a plan to achieve these with support of manager. (B8)

#### Distinction criteria

**B5.2:** Can recognise the limitations of others in addition to their own competence and provide examples of taking action when recognising the limitations of others. (B5)

**B8.2:** Can identify own development needs and has a plan with timescales to achieve these gaining experience beyond their usual workplace. (B8)

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# Assessment summary

The end-point assessment for the Level 3 Safety, Health and Environment (SHE) Technician Apprenticeship Standard is made up of 3 components:

1. 2-hour knowledge exam consisting of 11 2-part questions each worth 5 marks (multiple-choice questions (MCQ) and open-response questions (ORQ))
2. 2000-word (+/-10%) work project report and 20-minute associated presentation plus 15-minute Q&A
3. 1-hour professional discussion based on the portfolio of evidence

As an employer/training provider, you should agree a plan and schedule with the apprentice to ensure all assessment components can be completed effectively.

Each component of the end-point assessment will be assessed against the appropriate criteria laid out in this kit. This will then be used to determine a grade for each individual component. An overview of how each component is graded is provided below.

## Knowledge exam

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Total marks available are 55.

- **Unsuccessful** apprentices will have not met the minimum requirements; scored 1 or below in 1 or more of the questions or an overall score of 32 or below
- To achieve a **pass**, apprentices must score at least 2 out of 5 in each 2-part question (MCQ and ORQ) **and** achieve an overall minimum score of at least 33
- To achieve a **distinction**, apprentices must meet the pass criteria above plus a minimum overall score of at least 44

The knowledge exam may be delivered online or be paper-based and should be in a 'controlled' environment.

## Work project and associated presentation

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Total marks available are 50.

- Each area of the standard assessed by the work project and associated presentation is worth up to 5 marks. To achieve a **pass**, apprentices must score at least 3 out of 5 in each area **and** achieve an overall minimum score of 30.

- To achieve a **distinction**, apprentices **must** meet the pass criteria **plus** a minimum overall score of 40 or above.

## Professional discussion

---

Total marks available are 55.

- Each area of the standard assessed by the professional discussion is worth up to 5 marks. To achieve a **pass**, apprentices must score at least 3 out of 5 in each area **and** achieve an overall minimum score of 33.
- To achieve a **distinction**, apprentices **must** meet the pass criteria **plus** a minimum overall score of 44 or above.

## Grading

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The mark the apprentice achieves for each of the 3 assessment components is aggregated to become a total mark out of 160. This is used to calculate the overall grade awarded.

- **Pass = 96 or above subject to the stipulations for each area**
- **Distinction = 128 or above subject to the stipulations for each area**

## Retake and resit information

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Where referral of one or more end-point assessment methods is required, the apprentice should undertake a period of further learning in order to achieve the assessment standard. The apprentice will need to complete a retake checklist. Once this is completed, please call the Highfield scheduling team to arrange the retake.

The decision on how much time is required is based on a discussion between the apprentice, their employer and end-point assessor. Apprentices should resubmit referred elements within 12 months of referral. If the work project presentation component needs to be resubmitted, this should be done within 3 months of referral. This will usually be a revised version of the existing work project, not a new project.

When undertaking a retake, the assessment method(s) will need to be re-attempted in full, regardless of any individual assessment criteria that were passed on any prior attempt. It may be necessary to also re-attempt a 'pre-assessment' activity such as a project submission or proposal, we will advise this on the EPA report and during the scheduling call. The EPA report will contain feedback on areas for development and retake guidance.

Apprentices who achieve a pass grade cannot retake the EPA to achieve a higher grade.

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## Assessing the knowledge exam

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The knowledge requirements within the standard will be tested using a series of multiple-choice questions (MCQs) and open-response questions (ORQs) to assess the apprentice's knowledge. The knowledge exam may be delivered online or be paper-based.

The following areas (knowledge) of the safety, health and environment (SHE) apprenticeship standard will be assessed by a 2-hour exam consisting of 11 2-part questions. Each question will have 2 parts, the 1<sup>st</sup> part being an MCQ worth 1 mark and the 2<sup>nd</sup> part being an ORQ worth 4 marks, totalling 5 marks per question, providing a potential overall score of 55 marks. The MCQ and ORQ of one question cover the same topic.

## Grading the knowledge exam

---

Total marks available are 55.

**Unsuccessful** apprentices will have not met the minimum requirements; scored 1 or below in 1 or more of the questions and/or an overall score of 32 or below.

In order to achieve a **pass**, apprentices must score at least 2 out of 5 in each 2-part question **and** achieve an overall minimum score of at least 33 (60%).

In order to achieve a **distinction**, apprentices must meet the pass criteria (score at least 2 out of 5 in each question) **plus** a minimum overall score of at least 44 (80%).

It is possible to get all the multiple-choice questions (MCQs) incorrect and still pass with high scores on the open-response questions (ORQs), this is acceptable. Solely completing the MCQs will not achieve the pass mark.

## Before the assessment

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The employer/training provider should:

- brief the apprentice on the areas that will be assessed by the knowledge exam.
- set the apprentice a mock knowledge exam in readiness for the end-point assessment.  
A mock exam is available to download from the Highfield Assessment website and is also available via the mock e-assessment system.

## Guidance for Open-Response Questions

When preparing for end-point assessment, it is essential for apprentices to prepare for the open-response questions by attempting the mock exam. This preparation should include:

- ensuring that they have fully read the question to ensure all elements of it are addressed by their answer. Key words will be in bold.
- planning their answers to provide sufficient detail for the verb included at the beginning of the question (further guidance is provided below).

As a rule, apprentices should provide **one** key point for each mark required in the open-response questions.

The list below provides guidance on the level of detail apprentices will be required to supply in their answers. Please use this guidance when supporting apprentices to prepare for their open-response questions to ensure they have provided sufficient responses.

- **Analyse:** Break down a topic into separate parts and examine each, showing how the main ideas of each part are related or why they are important.
- **Assess:** Review the validity of a concept or information provided and consider the information to make a decision.
- **Compare:** Examine two or more subjects in detail and establish any similarities and differences. Identify the positive aspects and limitations for each.
- **Define:** State the meaning of a word, phrase or process.
- **Describe:** Write or speak about the topic or activity giving detailed information.
- **Distinguish:** Show or recognise the difference between ideas or information.
- **Establish:** Show something to be the case using the given information.
- **Evaluate:** Review evidence from different perspectives and come to a valid conclusion or reasoned judgement, considering the benefits and limitations.
- **Explain:** Provide a clear account of a concept by providing detailed information, giving reasons and showing how or why something is or isn't the case.
- **Identify:** Determine the origin or nature of something by selecting or providing basic examples or information.
- **Justify:** Provide reasons for how a conclusion, action or explanation was formed; providing, using or quoting supporting evidence.
- **Outline:** Provide a brief description of the main points or features of a concept, idea or theory etc.
- **State:** Give the main points in brief, clear sentences.

## Knowledge exam criteria

| Code of conduct for good SHE working practices                                                                  |                                                                                                                                       |                 |
|-----------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------|-----------------|
| Pass criteria                                                                                                   | Distinction criteria                                                                                                                  | Marks available |
| <b>K1.1:</b> Demonstrates a theoretical understanding of moral reasons for safety, health and environment. (K1) | <b>K1.2:</b> Demonstrates an applied understanding of moral reasons for safety, health and environment, with an example of each. (K1) | 5               |

| SHE legislation, methods and theories                                                                                                                                       |                                                                                                                                                                                                                                        |                 |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------|
| Pass criteria                                                                                                                                                               | Distinction criteria                                                                                                                                                                                                                   | Marks available |
| <b>K2.1:</b> Can demonstrate an understanding of key statutory health, safety and environmental <b>legislation and sources of associated guidance and information.</b> (K2) | <b>K2.2:</b> Can demonstrate an understanding of key statutory health, safety and environmental <b>legislation and sources of associated guidance and information</b> and how these are applied in their own working environment. (K2) | 5               |
| <b>K6.1:</b> Can demonstrate an understanding of the differences between occupational hygiene, health surveillance and health and well-being campaigns. (K6)                | <b>K6.2:</b> Can demonstrate an understanding of the differences between occupational hygiene, health surveillance and health and well-being campaigns and gives examples of implementing these in the workplace. (K6)                 | 5               |
| <b>K10.1:</b> Can demonstrate an understanding of theories for incident causation and prevention. (K10)                                                                     | <b>K10.2:</b> Can demonstrate an understanding of theories for incident causation and prevention and provide examples of applying the theory in the workplace. (K10)                                                                   | 5               |

### SHE management systems

| Pass criteria                                                                                                                    | Distinction criteria                                                                                                                                                                                                           | Marks Available |
|----------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------|
| <b>K3.1:</b> Can demonstrate an understanding of how a SHE management system works, and the <b>range of standards</b> used. (K3) | <b>K3.2:</b> Can demonstrate an understanding of how a SHE management system works and the <b>range of standards</b> used and how these are applied <b>beyond their own working environment (e.g. other industries)</b> . (K3) | 5               |
| <b>K7.1:</b> Can demonstrate an understanding of how to manage change. (K7)                                                      | <b>K7.2:</b> Can demonstrate an understanding of how to manage change and provides a workplace example from beyond their working environment. (K7)                                                                             | 5               |

### Risk assessments

| Pass criteria                                                                                                                                  | Distinction criteria                                                                                                                                                                             | Marks available |
|------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------|
| <b>K4.1:</b> Can demonstrate an understanding of <b>appropriate methods</b> for identifying, evaluating and controlling hazards. (K4)          | <b>K4.2:</b> Can demonstrate an understanding of <b>appropriate methods</b> for identifying, evaluating and controlling hazards and how these are implemented in their working environment. (K4) | 5               |
| <b>K5.1:</b> Can identify and prioritise the hazards with the potential to cause harm and/or loss. (K5)                                        | <b>K5.2:</b> Can identify and prioritise the hazards with the potential to cause harm and/or loss and provide examples from the workplace. (K5)                                                  | 5               |
| <b>K8.1:</b> Can demonstrate an understanding of the components of a behavioural program and potential blockers that need to be overcome. (K8) | <b>K8.2:</b> Can demonstrate an understanding of the components of a behavioural program, potential blockers that need to be overcome and workplace examples of implementation. (K8)             | 5               |

| Measuring performance and accident investigation                                                                   |                                                                                                                                                                                      |                 |
|--------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------|
| Pass criteria                                                                                                      | Distinction criteria                                                                                                                                                                 | Marks available |
| <b>K9.1:</b> Can demonstrate an understanding of how to plan for safety, health or environmental emergencies. (K9) | <b>K9.2:</b> Can demonstrate an understanding of how to plan for safety, health or environmental emergencies and has workplace examples of practice exercises to test the plan. (K9) | 5               |
| <b>S7.1:</b> Can demonstrate assisting in monitoring and analysis of SHE performance. (S7)                         | <b>S7.2:</b> Can demonstrate improving monitoring and analysis of SHE performance. (S7)                                                                                              | 5               |

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## Assessing the work project and associated presentation

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The work project is designed to ensure an apprentice's learning meets the needs of the business and is relevant for their role. The employer should ensure that the apprentice has a suitable amount of time and the necessary resources to plan and undertake the research and produce the written work project report. The work project report is supported by an associated presentation that takes place after the work project report has been assessed.

This component consists of 3 aspects:

- work project report
- presentation
- question and answer (Q&A) session

### Work project report

---

The work project will be completed during the end-point assessment window. The work project report will take place **within 6 months following the gateway meeting** and the work project requirements will be agreed between the apprentice and their employer prior to the work project commencing. The apprentice will produce a written report that must be **2,000-words in length (+10%)**, excluding any annexes. End-point assessors will only mark reports up to 2000 words (+10%) (maximum 2200 words), at which point, assessors will stop marking and only credit the criteria covered to that point. Reports that fall short of the word count will be marked in full, against all criteria. The report must be accompanied by the **written submission sheet** which is available to download from the Highfield Assessment website. The work project report will be assessed and will form the basis of the associated presentation and subsequent questions and answers (Q&A).

Guidance on the scope and range of the work project will be provided by the employer. The employer/training provider should review the scope of any proposed topic to ensure that all the 'work project report and associated presentation' elements of the standard can be demonstrated. Once the apprentice has identified what they want to write about in the work project report (for example, a work project could follow a Plan, Do, Check, Act (PDCA) model, by writing or reviewing an activity risk assessment to plan and identify improvement in the organisation's management system). The proposed work project would need to be presented to the employer with a business case that recognises equality and diversity and then implemented and reviewed recognising behavioural aspects in the lifecycle of the work project. The apprentice should then arrange a discussion with their employer/training provider. The employer/training provider should then determine whether the proposed work project has the potential to meet the criteria of the work project report.

The employer and the training provider can assist the apprentice to gather evidence for their work project and provide witness testimonies if appropriate, although any evidence included in the work project report must be clear and show the apprentice's own work/experience.

In the work project report, the apprentice will present evidence from their real work (or if necessary, a simulated working environment) that illustrates their application of knowledge, skills and behaviours. Highfield recommend that evidence in the work project report includes the following structure in relation to the specific piece of work chosen for the work project. A mapping document has also been created for the apprentice to use to ensure coverage of the criteria outlined for this assessment method:

|                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
|--------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Title page</b>        | <b>Work project report title</b><br><b>Apprentice name</b><br><b>Date of birth</b><br><b>Employer</b><br><b>Word count</b><br><b>Submission date</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| <b>Executive summary</b> | <p><b>Overview of work project</b> <i>(this should follow the basic principle of the what, the why, the how and the desired result. It is where you should provide a brief summary of what the work project is about for example a plan that was identified to improve the organisations management system following an activity risk assessment. Criteria that could be part of this section: K11.1-2, B3.1-2, B7.1-2, S2.1-2 and S12.1-2)</i></p> <p><b>Findings</b> <i>(e.g. brief summary of the outcome and/or results vs your expectations. What you did and what you found. Criteria that could be part of this section: S4.1-2)</i></p> <p><b>Recommendations</b> <i>(e.g. brief summary of what to do next – the next steps i.e. continuous Improvement, reflect/evaluate what went well/wrong, what you would do different, how to implement your conclusions. Criteria that could be part of this section: S3.1-2, S12.1-2)</i></p> |
| <b>Introduction</b>      | <p><b>Terms of reference</b> <i>(e.g. your reasoning for your proposed work project, starting point, for example following an activity risk assessment you discovered an improvement opportunity, your expectations prior to conducting. Criteria that could be part of this section: B3.1-2, B7.1-2)</i></p> <p><b>Outline of structure of report</b> <i>(e.g. follow the PDCA cycle. Criteria that could be part of this section: K11.1-2)</i></p> <p><b>Outline of theories</b> <i>(if applicable, i.e. following a model. Criteria that could be part of this section: S3.1-2)</i></p>                                                                                                                                                                                                                                                                                                                                                     |

|                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
|-------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Body</b>       | <p><b>Headings and sub-headings that reflect the contents of each section</b> (e.g. <i>The Plan and Do, what was considered, what did you have to think about before deciding what to do as a result of the proposal etc. Criteria that could be part of this section: K11.1-2</i>)</p> <p><b>Finding</b> (e.g. <i>the complete data collected, the overall outcome, what was the end result, what did you find out. Criteria that could be part of this section: S4.1-2</i>)</p> <p><b>Discussion of findings</b> (e.g. <i>detailed reflection/evaluation, went as expected/unexpected, what you would do different/the same. Criteria that could be part of this section: B3.1-2, B7.1-2, S2.1-2, S3.1-2, S12.1-2</i>)</p> <p><b>Findings in relation to theory</b> (if applicable, comparisons etc. to an existing theory/model. Criteria that could be part of this section: S3.1-2)</p> |
| <b>Conclusion</b> | <p><b>Summary of key findings</b> (e.g. <i>brief summary of the main result/outcome, feedback. Criteria that could be part of this section: B3.1-2, B7.1-2, S4.1-2, S3.1-2, S12.1-2</i>)</p> <p><b>Recommendations</b> (e.g. <i>solutions, suggestions, what to do next, reflect/evaluate what went well/wrong, what you would do different, the next steps, i.e. continuous improvement, how to implement your conclusions. Criteria that could be part of this section: B3.1-2, B7.1-2, S2.1-2, S3.1-2, S12.1-2</i>)</p>                                                                                                                                                                                                                                                                                                                                                                   |
| <b>References</b> | <p><b>List of reference material</b></p> <p>Any work used to support the work project but was not the apprentice's work.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| <b>Appendix</b>   | <p><b>Information to support the work project report but not essential to explanation (<i>this does not affect the overall word count</i>)</b>. As part of the appendix, you could include things like supporting documentation, emails, letters, meeting notes, workflow documents and feedback.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |

## Presentation and questions and answers (Q&A)

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At end-point assessment, the content of the work project report will be presented to the end-point assessor. The work project report will be sent to the independent assessor in advance of the presentation.

Presentations should be **20 minutes** (+/- 10%), followed by questions and answers (Q&A) for **15 minutes** (+/-10%). The presentation of the work project along with the outcomes from the Q&A session will be assessed by the end-point assessor. The use of audio evidence may be used to provide 'real-time' demonstration and application of knowledge, skills and behaviours. Audio evidence is not counted in the word limit for the work project report, however if recordings are used in the presentation this should not exceed 10% of the presentation time. **The employer will not be present at the presentation. It will be presented by the apprentice to the end-point assessor.**

## Grading the work project report and associated presentation

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Apprentices will be marked against the pass and distinction criteria included in the tables on the following pages (under work project and associated presentation criteria). Each area of the standard is worth up to 5 marks. Achieving the pass level for each criterion will gain 3 marks, achieving the distinction will gain a further 2 marks.

Total marks available are 50.

In order to achieve a **pass**, apprentices must score at least 3 out of 5 marks for each area of the standard **and** achieve an overall minimum score of at least 30.

In order to achieve a **distinction**, apprentices must achieve the pass criteria (score at least 3 out of 5 in each area of the standard) **plus** an overall minimum score of at least 40.

To achieve the highest marks, work projects should exceed the requirements of the standard, the standard must be met to achieve a pass.

## The associated presentation - mock assessment

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It is suggested that a mock assessment is carried out by the apprentice in advance of the end-point assessment with the training provider/employer giving feedback on any areas for improvement. It is the employer/training provider's responsibility to prepare apprentices for their end-point assessment and Highfield recommend that the apprentice experiences a mock presentation in preparation for the real thing. The most appropriate form of mock assessment will depend on the apprentice's setting and the resources available at the time.

When planning a mock assessment, the employer/training provider should include the following elements:

- mock presentations should be **20 minutes** (+/- 10%), followed by a question and answer session (Q&A) for **15 minutes** (+/- 10%).
- consider a recording of the mock assessment and allow it to be played back to other apprentices, especially if it is not practicable for the employer/training provider to carry out a separate mock assessment with each apprentice.
- ensure that the apprentice's performance is assessed by a competent trainer/assessor, and that feedback is shared with the apprentice to complete the learning experience.
- mock assessment sheets are available to download from the Highfield Assessment website and may be used for this purpose.
- structured 'open' questions should be used as part of the Q&A that do not lead the candidate but allow them to express their knowledge in a calm and comfortable manner. Some examples of this may include the following:

### Code of conduct for good SHE working practices

- How could you influence SHE culture in your workplace?

### SHE management systems

- Can you tell me about the SHE management system you use?

### Communication and presentation

- If you were to undertake this task again, what would you do differently?

## Work project and associated presentation criteria

During the work project and associated presentation, the following standards should be evidenced. Apprentices should prepare for the work project and associated presentation by considering how the criteria can be met:

| Code of conduct for good SHE working practices                                                              |                                                                                                                                           |                 |           |             |
|-------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------|-----------------|-----------|-------------|
| To pass, the following must be evidenced                                                                    | To gain a distinction                                                                                                                     | Marks available | Pass mark | Distinction |
| <b>B3.1:</b> Demonstrates an understanding of how to influence SHE culture. (B3)                            | <b>B3.2:</b> Demonstrates actions that lead (beyond the 'contribute' requirement) and can demonstrate a sustained change in culture. (B3) | 5               | 3         | 2           |
| <b>B7.1:</b> Can demonstrate implementation of the organisation's equality and diversity requirements. (B7) | <b>B7.2:</b> Can demonstrate creating new procedures or ways of working that promote equality or diversity. (B7)                          | 5               | 3         | 2           |

| SHE management systems                                                                                        |                                                                                                                          |                 |           |             |
|---------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------|-----------------|-----------|-------------|
| To pass, the following must be evidenced                                                                      | To gain a distinction                                                                                                    | Marks available | Pass mark | Distinction |
| <b>S2.1:</b> Can demonstrate supporting the development, management and implementation of <b>SHEMS</b> . (S2) | <b>S2.2:</b> Has led the development, management and implementation of a particular topic within the <b>SHEMS</b> . (S2) | 5               | 3         | 2           |

| Risk assessments                                                                                                                                                                                              |                                                                                                                                                                                                                                                                                                                                                  |                 |           |             |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------|-----------|-------------|
| To pass, the following must be evidenced                                                                                                                                                                      | To gain a distinction                                                                                                                                                                                                                                                                                                                            | Marks available | Pass mark | Distinction |
| <b>S4.1:</b> Demonstrates identifying and evaluating hazards relevant to the workplace worked in. (S4)                                                                                                        | <b>S4.2:</b> Demonstrates identifying and evaluating hazards relevant to the workplace worked in and also demonstrates examples of new control measures implemented to reduce risk to the workforce. (S4)                                                                                                                                        | 5               | 3         | 2           |
| Communication and presentation                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                  |                 |           |             |
| To pass, the following must be evidenced                                                                                                                                                                      | To gain a distinction                                                                                                                                                                                                                                                                                                                            | Marks available | Pass mark | Distinction |
| <b>K11.1:</b> Can demonstrate an understanding of how to write and present a <b>business justification</b> with workplace example. (K11)                                                                      | <b>K11.2:</b> Can demonstrate an understanding of how to write and present a <b>business justification</b> and reflects on how they would improve if undertaking the task again. (K11)                                                                                                                                                           | 5               | 3         | 2           |
| <b>S1.1:</b> Mostly holds attention and presents with occasional referral to notes. (S1)<br><b>S1.2:</b> Uses appropriate language. (S1)<br><b>S1.3:</b> Can reflect on personal performance when asked. (S1) | <b>S1.4:</b> Exceeds standard requirement via a range of presentation techniques. (S1)<br><b>S1.5:</b> Answers questions from the end-point assessor with confidence. (S1)<br><b>S1.6:</b> Demonstrates where presentation feedback has been proactively gained and used to aid personal reflection on performance during the work project. (S1) | 5               | 3         | 2           |

| Communication and presentation                                                                                                                                                                                |                                                                                                                                                                                                        |   |   |   |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|---|---|
| <b>B1.1:</b> Presents with occasional referral to notes. (B1)<br><b>B1.2:</b> Clear alignment between work project report and the presentation. (B1)<br><b>B1.3:</b> Engages with the audience at times. (B1) | <b>B1.4:</b> Presents confidently without referring to notes. (B1)<br><b>B1.5:</b> Clear alignment between work project report and the presentation. (B1)<br><b>B1.6:</b> Is engaging throughout. (B1) | 5 | 3 | 2 |
| <b>B2.1:</b> Provides evidence they have worked within a team that they have worked in a collaborative and adaptable way. (B2)                                                                                | <b>B2.2:</b> Provides evidence that they have led a team. (B2)<br><b>B2.3:</b> Demonstrating that they have worked in a collaborative and adaptable way to prevent potential conflict. (B2)            | 5 | 3 | 2 |

| Work instructions and implementation                                                                                                                     |                                                                                                                                           |                 |           |             |
|----------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------|-----------------|-----------|-------------|
| To pass, the following must be evidenced                                                                                                                 | To gain a distinction                                                                                                                     | Marks available | Pass mark | Distinction |
| <b>S3.1:</b> Can demonstrate providing advice and applying industry guidance in the workplace. (S3)                                                      | <b>S3.2:</b> Has developed new tools to provide advice and applying industry guidance within the workplace. (S3)                          | 5               | 3         | 2           |
| <b>S12.1:</b> Can demonstrate where finance has been considered and the apprentice has assisted to develop a budget, e.g. with their line manager. (S12) | <b>S12.2:</b> Can demonstrate where finance has been considered, a budget developed independently and implemented in the workplace. (S12) | 5               | 3         | 2           |

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## Assessing the professional discussion

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Based on the portfolio of evidence, the professional discussion is a structured discussion between the independent end-point assessor and the apprentice. **The employer will not be present.** It will last **1 hour** (+/- 10%). The professional discussion will cover the specific areas of the standard, as detailed in this document. The portfolio of evidence itself is not assessed by the assessor, therefore apprentices should select the best evidence to support their answers to the questions asked by the assessor. The professional discussion will focus on skills and behaviours that have not been assessed by an alternative assessment method. The professional discussion should be recorded (audio) for quality assurance purposes.

Highfield would encourage the employer/training provider and the apprentice to plan for the professional discussion and consider what resources they may bring with them to support them during their professional discussion. This must be their own work and will only be used to support their discussion. Highfield encourages apprentices to bring their portfolio of evidence with them to the professional discussion.

The professional discussion will need to take place in a suitable environment. The discussion will be against the set criteria that is outlined in the following pages and it will be appropriately structured to draw out the best of the apprentice's energy, enthusiasm, competence and excellence.

The professional discussion will:

- explore aspects of the work, including how it was carried out
- discuss how the apprentice would behave in specific scenarios
- ask questions in relation to personal development and reflection

## Before the assessment:

---

Employers/training providers should:

- plan the professional discussion to allow the apprentice the opportunity to demonstrate each of the required standards
- ensure the apprentice knows the date, time and location of the assessment
- ensure the apprentice knows which SHE technician criteria will be assessed (outlined on the following pages)
- encourage the apprentice to reflect on their experience and learning on-programme to understand what is required to meet the standard
- be prepared to provide clarification to the apprentice and signpost them to relevant parts of their on-programme experience as preparation for this assessment

## Grading the professional discussion

---

Apprentices will be marked against the pass and distinction criteria included in the tables on the following pages (under professional discussion criteria). Each area of the standard is worth up to 5 marks. Achieving the pass level for each criterion will gain 3 marks, achieving the distinction will gain a further 2 marks.

Total marks available are 55.

In order to achieve a **pass**, apprentices must score at least 3 out of 5 marks for each area of the standard **and** achieve an overall minimum score of at least 33.

In order to achieve a **distinction**, apprentices must achieve the pass criteria (score at least 3 out of 5 in each area of the standard) **plus** an overall minimum score of at least 44.

To achieve the highest marks, professional discussions should exceed the requirements of the standard, the standard must be met to achieve a pass.

## Professional discussion – mock assessment

---

It is suggested that a mock assessment is carried out by the apprentice in advance of the end-point assessment with the training provider/employer giving feedback on any areas for improvement.

It is the employer/training provider's responsibility to prepare apprentices for their end-point assessment, and Highfield recommend that they experience a mock professional discussion in preparation for the real thing. The most appropriate form of mock assessment will depend on the apprentice's setting and the resources available at the time.

When planning a mock assessment, the employer/training provider should consider the following elements:

- a 1-hour time slot should be available for the complete professional discussion, if it is intended to be a complete mock assessment covering all relevant standards, however this time may be split up to allow for progressive learning
- consider an audio recording of the mock, and to allow the mock to be played back to other apprentices, especially if it is not practicable for the employer/training provider to carry out a separate mock assessment with each apprentice
- ensure that the apprentice's performance is assessed by a competent trainer/assessor and that feedback is shared with the apprentice to complete the learning experience; mock assessment sheets are available to download from the Highfield Assessment website and may be used for this purpose
- structured 'open' questions should be used as part of the professional discussion that do not lead the candidate, but allow them to express their knowledge in a calm and comfortable manner, some examples of this may include the following:

### **Code of conduct for good SHE working practices**

- In what ways have you applied the professional institution code of conduct to your workplace?

### **SHE legislation, methods and theories**

- How do you prepare and maintain legal or workplace SHE records?
- In what ways would you improve systems or processes?

### **Measuring performance and accident investigation**

- In what ways would you investigate an incident?

## Professional discussion criteria

Throughout the 1-hour professional discussion, the assessor will review the apprentice's competence in the criteria outlined below, therefore apprentices should prepare for the professional discussion by considering how the criteria can be met:

| Code of conduct for good SHE working practices                                                              |                                                                                                                                          |                 |           |             |
|-------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------|-----------------|-----------|-------------|
| To pass, the following must be evidenced                                                                    | To gain a distinction                                                                                                                    | Marks available | Pass mark | Distinction |
| <b>B6.1:</b> Can demonstrate applying the professional institution code of conduct to their workplace. (B6) | <b>B6.2:</b> Can demonstrate applying the professional institution code of conduct to their workplace and can suggest improvements. (B6) | 5               | 3         | 2           |

| SHE legislation, methods and theories                                                       |                                                                                                                           |                 |           |             |
|---------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------|-----------------|-----------|-------------|
| To pass, the following must be evidenced                                                    | To gain a distinction                                                                                                     | Marks available | Pass mark | Distinction |
| <b>S8.1:</b> Can demonstrate preparing and maintaining legal or workplace SHE records. (S8) | <b>S8.2:</b> Can demonstrate improvements to processes for preparing and maintaining legal or workplace SHE records. (S8) | 5               | 3         | 2           |
| <b>S10.1:</b> Can demonstrate research to improve systems or processes. (S10)               | <b>S10.2:</b> Can demonstrate research and application in the workplace to improve systems or processes. (S10)            | 5               | 3         | 2           |

### Measuring performance and accident investigation

| To pass, the following must be evidenced                                                                     | To gain a distinction                                                                                                      | Marks available | Pass mark | Distinction |
|--------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------|-----------------|-----------|-------------|
| <b>S6.1:</b> Can demonstrate assisting in the implementation of SHE inspections and monitoring systems. (S6) | <b>S6.2:</b> Can demonstrate assisting and improving in the implementation of SHE inspections and monitoring systems. (S6) | 5               | 3         | 2           |
| <b>S11.1:</b> Can demonstrate managing or assisting in an incident investigation. (S11)                      | <b>S11.2:</b> Can demonstrate leading an incident investigation and embedding the lessons learnt. (S11)                    | 5               | 3         | 2           |

### Communication and presentation

| To pass, the following must be evidenced                                                                                                 | To gain a distinction                                                                                                         | Marks available | Pass mark | Distinction |
|------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------|-----------------|-----------|-------------|
| <b>S9.1:</b> Can demonstrate assisting the management team in maintaining existing relationships with <b>external stakeholders.</b> (S9) | <b>S9.2:</b> Can demonstrate independently establishing or managing new relationships with <b>external stakeholders.</b> (S9) | 5               | 3         | 2           |
| <b>S13.1:</b> Can demonstrate gaining contributions and expertise of other internal departments. (S13)                                   | <b>S13.2:</b> Can demonstrate working with other internal departments to achieve mutual benefits to both departments. (S13)   | 5               | 3         | 2           |

| Work instructions and implementation                                                                                 |                                                                                                                                                                |                 |           |             |
|----------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------|-----------|-------------|
| To pass, the following must be evidenced                                                                             | To gain a distinction                                                                                                                                          | Marks available | Pass mark | Distinction |
| <b>B4.1:</b> Can provide an example of an area for improvement and a suggested sustainable innovative solution. (B4) | <b>B4.2:</b> Can provide an example of an area for improvement that they identified, the solution they implemented and the outcome of their intervention. (B4) | 5               | 3         | 2           |
| <b>S5.1:</b> Can show application of workplace, suppliers or manufacturers' instructions. (S5)                       | <b>S5.2:</b> Can show application and improvement of workplace, suppliers or manufacturers' instructions. (S5)                                                 | 5               | 3         | 2           |

| Personal development                                                                                          |                                                                                                                                                                                 |                 |           |             |
|---------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------|-----------|-------------|
| To pass, the following must be evidenced                                                                      | To gain a distinction                                                                                                                                                           | Marks available | Pass mark | Distinction |
| <b>B5.1:</b> Can recognise the limitations of their own competence. (B5)                                      | <b>B5.2:</b> Can recognise the limitations of others in addition to their own competence and provide examples of taking action when recognising the limitations of others. (B5) | 5               | 3         | 2           |
| <b>B8.1:</b> Can identify own development needs and has a plan to achieve these with support of manager. (B8) | <b>B8.2:</b> Can identify own development needs and has a plan with timescales to achieve these gaining experience beyond their usual workplace. (B8)                           | 5               | 3         | 2           |

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