`

EHW MANAGEMENT SYSTEMS

MONITORING AND READINESS ASSESSMENT TOOL

FOR THE PUBLIC SERVICE

ANNEXURE (E)

OCTOBER 2010

TABLE OF CONTENT

DEFINITIONS

Situational Analysis	Systematic collection and evaluation of past and present economical, political, social and technological data. It is aimed at: • Identification of internal and external forces that may influence the organization's performance and choice of strategies, and • Assessment of the organization's current and future strengths, weaknesses, and opportunities.
Integrated needs analysis (Also called needs assessment.)	Technique for determining the steps to be taken in moving from a current state to a desired future-state. It begins with: • Listing of characteristic factors (such as attributes, competencies, performance levels) of the present situation *("what is")*, • Cross-lists factors required to achieve the future objectives *("what should be")*, and then • Highlights the 'gaps' that exist and need to be 'filled'.
Impact assessment (IA)	"a process aimed at structuring and supporting the development of policies. It identifies and assesses the problem at stake and the objectives pursued. It identifies the main options for achieving the objective and analyses their likely impacts in the economic, environmental and social fields. It outlines advantages and disadvantages of each option and examines possible synergies and trade-offs".
Standard Operating Procedure	a document which describes the regularly recurring operations relevant to the quality of the investigation. The purpose of a SOP is to carry out the operations correctly and always in the same manner. A SOP should be available at the place where the work is done".

Ill-health determinants	include the range of personal, social, economic and environmental factors which determine the health status of individuals or populations. The factors which influence health are multiple and interactive. They are related to the actions of individuals, such as health behaviors and lifestyles, but also factors such as income and social status, education, employment and working conditions, access to appropriate health services, and the physical environments.
Operational controls	are developed and implemented to ensure that potential for significant negative environmental impacts are minimized
Pillar	refers to the four functional pillars of the EHW strategic framework. They are: • HIV&AIDS and TB Management • Health and Productivity Management • SHERQ Management • Wellness Management
Integrated Health Risk Assessment	a systematic procedure to identify potential health hazards, evaluate the extend of exposure subjectively and/or objectively, and to establish the need for, and effectiveness of existing control measures. (Schoeman, 1994:7). Furthermore it facilitates the drafting of occupational exposure monitoring, medical surveillance and occupational health education programs. (Goede 1998; Van Der Merwe 1998:14)

ACRONYMS AND ABBREVIATIONS

AIDS	Acquired Immune Deficiency Syndrome
COID	Compensation for Occupational Injuries and Diseases
EHW	Employee Health and Wellness
GEMS	Government Employee Pension Fund
HCT	HIV Counseling and Testing
HIV	Human Immunodeficiency Virus
HOD	Head of Department
HR	Human Resource(s)
HPM	Health and Productivity Management
IAA	Inspection Approved Authority
IEC	Information, Education and Communication
IHRA	Integrated Health Risk Assessment
M&E	Monitoring and Evaluation
OHS ACT	Occupational Health and Safety Act
PEP	Post-exposure prophylaxes
PLHIV	People living with HIV
SHERQ	Safety, Health, Environment, Risk and Quality

SOP	Standard Operating Procedure
STI	Sexually Transmitted Infection
TB	Tuberculosis
TOR	Terms of Reference

1. INTRODUCTION

DPSA has developed several policy documents in 2007/8 for EHW in the Public Service to coordinate the programmes and services that are offered in a unified manner. These documents are the following:

- EHW Strategic Framework
- EHW Policies:
  - o HIV and AIDS & TB Management
  - o Health and Productivity Management
  - o SHERQ Management (Safety, Health, Environment, Risk, and Quality)
  - o Wellness Management

  - The following tools:
    - o Policy Generic Implementation Guides
    - o Step-by-Step System Implementation Guides
    - o Systems Monitoring / Readiness Assessment Tool

The intention with this EHW Management Systems Monitoring / Readiness Assessment Tool is to provide a framework within which Government Departments can develop and maintain an EHW Management System. It is based on the AMS management system standard (AMS 16001: 2003).

This EHW Management System Monitoring / Readiness Assessment Tool has been developed to be compatible with the ISO 9001:2000 and the ISO 14001:1996 management systems standards as well as the OHSAS 18001:1999, in order to facilitate the integration of quality, environmental and occupational health and safety management systems of department, should they wish to do so. This Monitoring Tool will be reviewed or

amended when considered appropriate. Reviews will be conducted when new editions of AMS 16001, ISO 9001, ISO 14001 or OHSAS 18001 are published, to ensure continuing compatibility.

1.1. PURPOSE, OBJECTIVES AND EXPECTED OUTCOMES

1.1.1. PURPOSE

The purpose of the organizational readiness assessment is to enable departmental officials in EHW to conduct a self-assessment of their readiness to implement the EHW policies for the Public Service. The readiness assessment explores many aspects of organizational performance in respect to EHW, and provides EHW officials with the opportunity to reflect on their state of readiness to implement the four EHW policies. The Systems Monitoring / Readiness Assessment Tool should be used for this readiness assessment. EHW coordinators and managers should use these guidelines to conduct the readiness assessment.

The requirements in this Systems Monitoring / Readiness Assessment Tool establish departments 'readiness to operationalise the four pillars of the EHW Strategic Framework as expressed through the four EHW policies (HIV&AIDS and TB Management, Health and Productivity Management, SHERQ and Wellness Management).

The tool will further establish the basic commitment of every department to document and sustain an EHW Management system. The system must include a clearly mapped out departmental structure and documentation covering planning activities, responsibilities, practices, procedures and processes for achieving the requirements of the EHW Management system. Resources must also be provided for developing, implementing, achieving, reviewing and maintaining the EHW Management policies.

1.1.2. OBJECTIVES OF THE READINESS ASSESSMENT TOOL IS FOR:

- Assessment of organizational readiness and implementation proficiency
- Identification of gaps in capacity to implement EHW initiatives
- Promotion of discussion on many aspects of organizational readiness for implementation as a means of fostering shared understanding

- Helping to nurture commitment among stakeholders regarding the implementation of EHW Policies

1.1.3. EXPECTED OUTCOMES FROM THE READINESS ASSESSMENT ARE:

- Assessment scores on 5 aspects of organizational readiness
- More in-depth understanding about the basic requirements for a successful system for the implementation of EHW initiatives
- Readiness Action Plan

1.2. GENERIC ELEMENTS OF AN EFFECTIVE EHW MANAGEMENT SYSTEM

For departments to establish an effective EHW Management System they should have the following five elements contained within the AMS 16001, ISO 9001, ISO 14001 or OHSAS 18001 standards and guidelines. These elements are:

- Commitment to EHW Management policies
- Planning of the EHW Management system
- Implementation and operation of the EHW Management system
- EHW Management system evaluation, corrective and preventive action
- EHW Management review

1.3. SIGNIFICANCE OF THE GENERIC ELEMENTS ON THE EHW POLICY IMPLEMENTATION

1.3.1. Commitment to EHW Management policies

The elements intention is to ensure ongoing commitment to EHW management system by establishing an appropriate EHW Management Strategy, Plan and Policies which address all four pillars of the EHW Strategic Framework 2008.

The EHW management strategy should be determined by Senior Management, and be informed by relevant evidence of needs and risk assessments conducted (initial review).

The ideal for realization of this element would be for departments to develop departmental strategic plans that reflects Employee Health and Wellness as one of its inherent priorities, and commitment to address such priorities through policy measures and principles outlined in the four EHW policies (HIV&AIDS and TB, HPM, SHERQ and Wellness Management)

The EHW policies act as the foundation for the entire EH&W management system. Therefore, the structure of the system should be designed to deliver the strategy of the Department. The policy should be a documented statement of how the organization is committed to reduce the impact of Workplace-based ill- health and incidents on its employees, their families and the Department, prevention of ill-health, legislative compliance, continual improvement and organization sustainability.

1.3.2. Planning of EHW Management System

Realization of this element allows departments to identify, evaluate and understand how it and its clients impinge on the wellness of the work force and their families. The element is intended to guide the organization on how to identify and assess risks and hazards through a dynamic, formal, structured and holistic process to facilitate effective risk reduction plans and actions.

Planning of the EHW Management System should seek to facilitate compliance with applicable legislative and regulatory frameworks as well as to identify and assess EHW Management Objectives and Targets. Clearly documented Standard Operating Procedures (SOP"S) for assessment of Ill-health determinants and related impact and significant risks, as well as SOP's for identification of applicable legislative and regulatory requirements/standards should guide implementation of this element in the organization.

The element will be verified by availability of a mainstreamed, costed EHW operational plan which specifies strategic objectives and targets to address strategic EHW issues as well as specific activities and time frames to attain set objectives. Financial and operational controls should be specified in the plan, as well as mechanisms for tracking and measurements for attainment of set objectives and EHW management systems

outcomes.

1.3.3. Implementation and operation of EHW Management System

This element refers to the department's obligations to develop capabilities and support mechanisms necessary to achieve its EHW Management policies, objectives and targets. The organization should identify and provide the appropriate specialized human and technological skills, and financial resources to implement the EHW Management system.

A Mainstreamed and costed operational plan should be developed to reflect key structures and responsibilities (champions and subordinates), activities for organizational support and capacity development with clearly defined objectives and targets for the EHW Management system. Clear communication strategy, document control, system control and emergency preparedness are key components of this element.

1.3.4. EHW Management System Evaluation and Corrective Action

This element refers to monitoring and measurement of the EHW Management System efficiency and effectiveness with focus on documentation and analysis of indicators for incidents rate, non-conformance and corrective actions, reports, effects and outcomes of workplace education, as well as EHW Management system audits.

EHW indicators and reporting system will be informed by, among others, the Policy Implementation Guides, HIV Counseling and Testing (HCT) campaign and the Government Sector M&E Plan for HIV&AIDS response.

1.3.5. EHW Management System Review

Departments need to review and continually improve the EHW management system in line with findings of the overall quarterly / annual departmental self assessment using this tool.

2. INSTRUCTIONS ON HOW TO COMPLETE THE TOOL

2.1. <u>Description of the Tool Components</u>

ELEMENT

The standard that should be maintained and monitored

CRITERIA

The measures that are used to judge performance

MEANS OF VERIFICATION

Evidence that the criteria is met

YES / NO

Tick yes when system is in place and cross no when not

NUMBER OF AWARDS

Awards for all elements on the rating scale 1-4

2.2.   Steps

Step 1	Read all the statements in the EHW Management Systems Monitoring/ Readiness Assessment Tool (**Table 2**) and decide which of the statements are true for your department by placing a checkmark (√) in the box marked "yes". Or If not then x "No"
Step 2	Refer to the Rating scale (**Table 1**) for allocation of awards for each Criteria in the Status/Results Column
Step 3	Add the awards for each Element and enter the total score into **Table 3** by using the provided formula. Please note the title provided for each of the columns by looking at the category letters (A-E) and the associated component of organizational readiness
Step 4	Please refer to Graphic Presentation of Scores Per Element (**Table 4**) and transfer your scores to the graph and shade your scores. Note the extent to which your department could be assessed as ready to implement.
Step 5	Analyze your overall assessment score and determine the level of readiness to implement in your organization in each area of assessment **(Table 5).**
Step 6	Complete the Readiness Action Plan for your department based on identified gaps, to implement and monitor **(Table 6)**

3. THE ACTUAL ASSESSMENT PROCESS:

Name of the Organization/Department …………………………………………

Date of review……………………………………………………………...

Responsible Person………………………………………………………….

3.1. **READINESS RATING SCALE:**

SCORE /AWARD	DESCRIPTION OF THE READINESS LEVEL
1	**Evidence of draft,** with no evidence of <u>approval</u>, <u>implementation</u> or <u>monitoring and evaluation</u>
2	**Evidence of approval,** with no evidence of <u>implementation</u>, or <u>monitoring and evaluation</u>
3	**Evidence of approval and implementation,** but no evidence of <u>monitoring and evaluation</u>
4	**Evidence of approval, implementation and monitoring and evaluation**
Shaded blocks	**The shaded blocks should not be scored as the descriptions in the criteria indicate headings**

TABLE 2: ASSESSMENT TABLE WITH ELEMENTS, CRITERIA, MEANS OF VERIFICATION AND ALTERNATIVE RESPONSES (Y=Yes; N=No)

1. COMMITMENT, INITIAL REVIEW AND EHW MANAGEMENT POLICIES								

ELEMENT	CRITERIA	MEANS OF VERIFICATION	SCORE/AWARDS						COMMENTS
			Y	N	1	2	3	4	
1.1 COMMITMENT INTENT: Ensure ongoing Commitment to the EHW Management system by establishing an Appropriate EHW Management strategy, plan and policies to address EHW issues	1.1.1 Departmental Strategy developed	Documented Departmental Strategy							
	1.1.1.1. Departmental Strategy addresses the following:								
	• HIV&AIDS and TB	Documented Departmental Strategy							
	• HPM								
	• Wellness								
	• SHERQ								
	1.1.2.EHW Policies developed	Documented EHW Policies							
SUB-TOTAL (6 X 4 CRITERIA = 24)								

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	1. COMMITMENT, INITIAL REVIEW AND EHW MANAGEMENT POLICIES								
ELEMENT	**CRITERIA**	**MEANS OF VERIFICATION**	**SCORE/AWARDS**						**COMMENTS**
			Y	N	1	2	3	4	
1.1.COMMITMENT ...continued	1.1.2.1.EHW Policies integrate the management of the following:								
	• HIV&AIDS and TB								
	• HPM	Documented EHW Policies							
	• Wellness								
	• SHERQ								
	1.1.3 Costed EHW Operational plan developed	EHW costed Operational Plan							
	1.1.3.1. EHW Operational Plan incorporates activities to realize policy measures and principles to manage the following workplace issues:								
	• HIV&AIDS and TB								
	• HPM	4 Distinctive KRA's in Operational Plan that address all 4 pillars							
	• Wellness								
	• SHERQ								
SUBTOTAL (9 X 4 CRITERIA = 36)									

1. COMMITMENT, INITIAL REVIEW AND EHW MANAGEMENT POLICIES									
ELEMENT	CRITERIA	MEANS OF VERIFICATION	SCORE/AWARDS						COMMENTS
			Y	N	1	2	3	4	
1.2 INITIAL REVIEW (COLLECTION OF BACKGROUND INFORMATION) INTENT: To determine the current position of the Department with regard to EHW issues	1.2.1 Departmental situational analysis for EHW policies conducted	Report on situational analysis							
	1.2.1.1. Situational analysis incorporated the following:								
	• Integrated health risks assessment in the department	IHRA Report							
	• Integrated needs analysis of all 4 pillars	Integrated needs analysis report							
	➢ HIV&AIDS and TB								
	➢ HPM								
	➢ Wellness								
	➢ SHERQ								
SUBTOTAL (6 X 4 CRITERIA = 24)									
TOTAL: HIGHEST SCORE 21 x 4 CRITERIA = 84 (maximum rating)									

	2. PLANNING OF EHW MANAGEMENT SYSTEM								
			SCORE/AWARDS					
ELEMENT	**CRITERIA**	**MEANS OF VERIFICATION**	Y	N	1	2	3	4	**COMMENTS**
2.1 ILL-HEALTH DETERMINANTS, THE IMPACT AND EVALUATION OF HEALTH RELATED RISKS **INTENT**: Identify and assess EHW risks through a dynamic, formal, structured and holistic process to facilitate effective risk reduction plans and actions	2.1.1.Documented standard operating procedure (SOP) for:	SOP on ill-health determinants							
	• ongoing identification of Ill-health determinants of the department	SOP on ill-health determinants							
	• Impact assessment	SOP on Impact assessment							
	• Evaluation of significant risks	SOP on Evaluation							
**SUB-TOTAL (3 X 4 = 12)**								

	2. PLANNING OF EHW MANAGEMENT SYSTEM								
ELEMENT	**CRITERIA**	**MEANS OF VERIFICATION**	**SCORE/AWARDS**						**COMMENTS**
			Y	N	1	2	3	4	
2.2 LEGAL AND OTHER REQUIREMENTS **INTENT**: Facilitate compliance with applicable legislation and regulatory requirements	2.2.1.Developed Specific Operating Procedure(s) for:								
	• Identification of applicable current legal and regulatory requirements	SOP(s) for legal and regulatory requirements							
	• identification of legal and regulatory compliance	SOP(s) for legal and regulatory compliance							
2.3 EHW MANAGEMENT SYSTEM OBJECTIVES AND TARGETS **INTENT:** Identify and Assess EHW management objectives and targets.	2.3.1. Documented Departmental EHW Management objectives and targets aligned to the Departmental Strategic Plan	Departmental Strategic Plan							
SUB-TOTAL (3 X 4 = 12)									

2. PLANNING OF EHW MANAGEMENT SYSTEM								
ELEMENT	**CRITERIA**	**MEANS OF VERIFICATION**	**SCORE/AWARDS**						**COMMENTS**
			Y	N	1	2	3	4	
2.4 EHW MANAGEMENT SYSTEM PLAN(S) **INTENT:** Establish objectives and targets and achieve them in a specified time frame.	2.3.2 EHW Operational controls and management plans developed for the following pillars:								
	• HIV & AIDS and TB	HIV & AIDS and TB operational control plan							
	• HPM	HPM operational control plan							
	• Wellness	Wellness operational control plan							
	• SHERQ	SHERQ operational control plan							
SUB-TOTAL (4 X 4 = 16)									
TOTAL: HIGHEST SCORE 10 x 4 CRITERIA = 40 (maximum rating)									

3. IMPLEMENTATION, OPERATIONAL CONTROLS AND MANAGEMENT OF EHW MANAGEMENT SYSTEM									
ELEMENT	**CRITERIA**	**MEANS OF VERIFICATION**	**SCORE/AWARDS**						**COMMENTS**
			Y	N	1	2	3	4	
3.1 STRUCTURE, RESPONSIBILITY AND ACCOUNTABILITY FOR EHW MANAGEMENT SYSTEM **INTENT:** Identify and provide the appropriate specialized human skills, technological and financial resources to implement the Department's EHW management system.	3.1.1 The Departmental structure makes provision for an EHW unit	Documented Departmental Structure							
	3.1.2 Sufficient human resources with relevant skills and technical resources provided for:	Documented Departmental structure with relevant EH&W profiles							
	• HIV&AIDS and TB Management								
	• HPM								
	• Wellness								
	• SHERQ								
SUB-TOTAL (5 X 4 = 20)									

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3. IMPLEMENTATION, OPERATIONAL CONTROLS AND MANAGEMENT OF EHW MANAGEMENT SYSTEM									
ELEMENT	CRITERIA	MEANS OF VERIFICATION	SCORE/AWARDS						COMMENTS
			Y	N	1	2	3	4	
	3.1.3.Sufficient financial resources provided for EHW	Departmental Budget							
	3.1.4.Appointment of EHW SMS with defined roles, responsibilities and authority	Departmental structure							
	3.1.5. Clear roles & responsibilities for EHW staff defined	EHW Policies							
3.2 EHW MANAGEMENT COMMITTEES INTENT: EHW Management Committees established and operating effectively to comply with policy.	3.2.1. EHW Committee representatives are from all levels of the Department	Signed Submission Signed letters of appointment by the HOD							
	3.2.2. Employee / labour organizations form part of the committee	Signed Submission Signed letters of appointment by the HOD							
	3.2.3.Roles & responsibilities of the committee are defined and documented	Terms of reference (TOR)							
	3.2.4. Committee meetings used to review EHW programmes/policies	Minutes of the committee meetings							
SUB-TOTAL (7 x 4 = 28)									

3. IMPLEMENTATION, OPERATIONAL CONTROLS AND MANAGEMENT OF EHW MANAGEMENT SYSTEM									
ELEMENT	**CRITERIA**	**MEANS OF VERIFICATION**	**SCORE/AWARDS**						**COMMENTS**
			Y	N	1	2	3	4	
3.3 EHW MANAGEMENT INFORMATION, AWARENESS, EDUCATION AND COMPETENCE **INTENT:** To provide correct and up-to-date information on EHW and workplace issues, and to empower employees with skills to help them to adopt behaviours that will reduce ill-health and occupational hazards.	3.3.1.EHW Information and awareness programmes are developed and implemented	EHW Communication Strategy							
	3.3.1.1.Awareness programme is relevant to prevalent risks / impact relating to:								
	• HIV&AIDS and TB	EHW Operational Plan							
	• HPM								
	• Wellness								
	• SHERQ								
	3.3.1.2. Information customized to relevant language and literacy levels of target groups	IEC Materials language and format (visuals)							
	3.3.1.3. EHW programmes that include diversity management.	EHW Operational Plan							
	3.3.1.4.EHW programmes integrated into existing HR policies and programmes	Documented induction programmes							
SUB-TOTAL (8 x 4 = 32)									

3. IMPLEMENTATION, OPERATIONAL CONTROLS AND MANAGEMENT OF EHW MANAGEMENT SYSTEM									
ELEMENT	CRITERIA	MEANS OF VERIFICATION	SCORE/AWARDS						COMMENTS
			Y	N	1	2	3	4	
	3.3.3. Competency is determined through the Performance Management System at all levels of EHW management	Performance management reviews							
	3.3.3.1 All role players are appropriately capacitated in line with Departmental standards and procedures	Capacity building records							
	3.3.3.2.EHW policies are accessible to all employees	EHW Communication Strategy							
	3.3.3.3.Capacity building programme monitored	M&E Reports							
3.4 EHW MANAGEMENT SYSTEM COMMUNICATION INTENT: Share EHW information with interested and affected parties	3.4.1. System for internal communication is established	SOP for internal communication EHW Newsletters and bulletins							
	3.4.2. System for external communication is established	SOP for external communication Record of response from relevant stakeholders							
	3.4.3.System for EH&W Annual Reporting	Departments annual report which includes EHW							
	3.4.4. System Performance communicated	Departments annual report which includes EHW							
SUB-TOTAL (8 X 4 = 32)									

3. IMPLEMENTATION, OPERATIONAL CONTROLS AND MANAGEMENT OF EHW MANAGEMENT SYSTEM									
ELEMENT	CRITERIA	MEANS OF VERIFICATION	SCORE/AWARDS						COMMENTS
			Y	N	1	2	3	4	
3.5 DOCUMENTATION AND DOCUMENT CONTROL **INTENT:** Establish and maintain procedures for controlling all documents and data required by the Department.	3.5.1. Documentation system is in place and documents are kept for a minimum period of 10 years	SOP for document control							
	3.5.2. Documents readily identifiable	SOP for document control							
	3.5.3. Reports suitably archived and safeguarded	SOP for document control							
3.6 OPERATIONAL CONTROLS AND MANAGEMENT OF EHW MANAGEMENT SYSTEM **INTENT**: Ensure that Control measures are prepared and implemented to maintain and improve the EHW Management system Performance in accordance with policy requirements	3.6.1. Procedures and criteria established to prevent deviation from policy, objectives and targets for:	SOP for policy compliance							
	• HIV&AIDS and TB								
	• HPM								
	• Wellness								
	• SHERQ								
SUB-TOTAL (7 X 4 = 28)									

	3. IMPLEMENTATION, OPERATIONAL CONTROLS AND MANAGEMENT OF EHW MANAGEMENT SYSTEM								
			SCORE/AWARDS						COMMENTS
ELEMENT	CRITERIA	MEANS OF VERIFICATION	Y	N	1	2	3	4	
	3.6.1.1. <u>HIV&AIDS and TB Controls:</u> i) Procedures and criteria established to prevent deviation from HIV&AIDS and TB Policy, objectives and targets	Relevant SOP							
	ii) Procedure includes operational criteria for:								
	• Management of employees with HIV&AIDS and their families								
	• HIV Testing in the workplace								
	• Universal precautions and infection control								
	• Discrimination								
	• Compensation								
	• Working hours and reasonable accommodation	Departmental guidelines on working hours							
SUB-TOTAL (7 X 4 = 28)									

3. IMPLEMENTATION, OPERATIONAL CONTROLS AND MANAGEMENT OF EHW MANAGEMENT SYSTEM									
ELEMENT	CRITERIA	MEANS OF VERIFICATION	SCORE/AWARDS						COMMENTS
			Y	N	1	2	3	4	
	iii) Documented procedures to reduce the rate of HIV&AIDS,STI and TB transmission from infected to uninfected employees and their families	Infection control policy							
	iv) Procedures to increase roll-out of workplace prevention programmes which includes:								
	• Condom distribution	Documented workplace programme							
	• STI diagnosis and management								
	• TB screening and prophylaxis								
	v) Documented procedure to minimize the risk of HIV and TB transmission resulting from occupational exposure to blood and blood products.	Policy for PEP							
SUB-TOTAL (5 X 4 = 20)									

3. IMPLEMENTATION, OPERATIONAL CONTROLS AND MANAGEMENT OF EHW MANAGEMENT SYSTEM									
ELEMENT	CRITERIA	MEANS OF VERIFICATION	SCORE/AWARDS						COMMENTS
			Y	N	1	2	3	4	
	vi) Creation of enabling environment for workplace HIV Testing focusing on:								
	• Routine counseling and testing for individuals at high risk (transport, farmers, etc.)	Workplace Counseling and Testing policy/ SOP							
	• Peer education programme	Documented peer education programme							
	vii)Procedure for treatment, care and support of PLHIV and their families to enable them to live healthy and productive lives	Treatment care and support SOP							
	viii),Promotion of Human rights and access to justice:								
	• Stigma mitigation	Legal & Human rights SOP							
	• Anti-discriminatory work-practices								
	ix)Procedures for suppliers, contractor and contracts control are in place	HIV&AIDS and TB management SOP for suppliers and contractors							
	• Risk liability identified and managed								
SUB-TOTAL (7 X 4 = 28)									

	3. IMPLEMENTATION, OPERATIONAL CONTROLS AND MANAGEMENT OF EHW MANAGEMENT SYSTEM								
ELEMENT	**CRITERIA**	**MEANS OF VERIFICATION**	**SCORE/AWARDS**						**COMMENTS**
			Y	N	1	2	3	4	
	x) Promotion of research, monitoring and surveillance in place:								
	• Appropriate HIV&AIDS and TB management indicators monitored and reported	Documented reports on HIV&AIDS and TB Management indicators							
SUB-TOTAL (1 X 4 = 4)									
TOTAL FOR HIV&AIDS AND TB 20 X 4 = 80									

ELEMENT	CRITERIA	MEANS OF VERIFICATION	SCORE/AWARDS						COMMENTS
			Y	N	1	2	3	4	
	3.6.1.2 HPM Controls: i) Absenteeism rate is monitored quarterly and feedback reports are provided to management	HR Records							
	ii) Awareness, education and prevention programmes on chronic disease management are in place	Documented Education Programme							
	iii) All employees have access to treatment, care and support for chronic disease management	GEMS report Documented EHW Programmes on treatment, care and support							
	iv) Confidentiality code of conduct is maintained	Signed Confidentiality Code of conduct							
TOTAL FOR HPM (4 X 4 = 16)									

Table title (spanning): **3. IMPLEMENTATION, OPERATIONAL CONTROLS AND MANAGEMENT OF EHW MANAGEMENT SYSTEM**

			SCORE/AWARDS						

<table>
<tr><th colspan="10">3. IMPLEMENTATION, OPERATIONAL CONTROLS AND MANAGEMENT OF EHW MANAGEMENT SYSTEM</th></tr>
<tr><th rowspan="2">ELEMENT</th><th rowspan="2">CRITERIA</th><th rowspan="2">MEANS OF VERIFICATION</th><th colspan="6">SCORE/AWARDS</th><th rowspan="2">COMMENTS</th></tr>
<tr><th>Y</th><th>N</th><th>1</th><th>2</th><th>3</th><th>4</th></tr>
<tr><td></td><td>3.6.1.3 <u>Documented Wellness Management controls:</u>
i) Wellness Facilities are available (E.g. Wellness Centre, Gym, Canteen)</td><td>Site visit report</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td></td><td>ii) Awareness and Education Programs on Wellness are in place.</td><td>Operational Plan</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td></td><td>iii) Systems for dissemination of wellness information are in place (Electronic or hard copy)</td><td>Communication Strategy</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td></td><td>iv) Counseling Services are in place.</td><td>Analysis Report</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td></td><td>v) Organisational Development and Support Programmes (harassment, discrimination, victimization, workplace violence and bullying) are in place</td><td>Operational Plan</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td></td><td>vi) Flexible policies that address work-life balance are in place.</td><td>Departmental Policies</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td></td><td>vii) Child care facilities in the Workplaces are in place.</td><td>Site visit report</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td></td><td>viii) Retirement programmes are implemented.</td><td>M&E Report</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td></td><td>Ix) Mainstreaming of HIV and AIDS, gender, disability, and youth development into the Workplace is supported.</td><td>Departmental Strategy</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td colspan="3">TOTAL FOR WELLNESS MANAGEMENT 9 X 4 = 36</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr>
</table>

ELEMENT	CRITERIA	MEANS OF VERIFICATION	SCORE/AWARDS						COMMENTS
			Y	N	1	2	3	4	

3. IMPLEMENTATION, OPERATIONAL CONTROLS AND MANAGEMENT OF EHW MANAGEMENT SYSTEM

ELEMENT	CRITERIA	MEANS OF VERIFICATION	Y	N	1	2	3	4	COMMENTS
	3.6.1.4. <u>SHERQ controls</u> i) Identify and manage occupational health and safety related risks	Health Risk Report							
	ii) Environmental hazards identified, assessed and controlled	Health Risk Report							
	iii) All OHS ACT statutory appointments are made	SOP for regulatory requirements and compliance Signed appointment letters							
	iv) Well maintained buildings and offices	SOP for buildings and offices							
	v) Waste safely disposed	SOP for waste disposal							
	vi) Good housekeeping maintained and practiced	SOP for house keeping							
	vii) Well maintained machinery and electrical equipment	SOP for maintenance							
	viii) OHS audits conducted	Audit report							
	ix) Disaster management plans developed, implemented and maintained	SOP for disaster management							
	x) Risk assessment controls monitored and evaluated	M&E report							
	xi) Risk assessment reports verified by approved IAA's	Risk assessment reports							
TOTAL FOR SHERQ 11 X 4 = 44									

3. IMPLEMENTATION, OPERATIONAL CONTROLS AND MANAGEMENT OF EHW MANAGEMENT SYSTEM									
ELEMENT	CRITERIA	MEANS OF VERIFICATION	SCORE/AWARDS						COMMENTS
			Y	N	1	2	3	4	
3.7 EMERGENCY RESPONSE AND CONTROL OF THE EH&W MANAGEMENT SYSTEM INTENT: Provide Adequately equipped and trained emergency response to accidental and uncontrolled events	The following procedures detailing the potential for and response to traumatic events:								
	Trauma debriefing for rape victims implemented and maintained	Emergency Response Plan							
	Emergency preparedness and response plans and procedures	Emergency Response Plan							
TOTAL: HIGHEST SCORE 85 x 4 CRITERIA = 340 (maximum rating)									

	4. EHW MANAGEMENT SYSTEM EVALUATION, CORRECTIVE AND PREVENTIVE ACTION								
			SCORE/AWARDS						**COMMENTS**
ELEMENT	**CRITERIA**	**MEANS OF VERIFICATION**	Y	N	1	2	3	4	
4.1 EHW MANAGEMENT SYSTEM MONITORING AND MEASUREMENT **INTENT**: Development of a corporate memory of EHW to facilitate effective communication internally and externally and changing people's behaviour with regard to EHW	4.1.1.The impact of EHW Management in the workplace is monitored and evaluated by:								
	maintaining records on sickness and identifying root causes thereof	Sick leave records							
	• maintaining records on absence and identifying root causes thereof.	Monthly & quarterly reports							
	• tracking performance of key indicators	EH&W Records							
	• meeting of objectives and targets	M&E Plan							
	4.1.2.Reports are forwarded to Senior management on:								
	• HIV&AIDS and TB Management								
	• HPM	M&E Reports							
	• Wellness management								
	• SHERQ management								
	4.1.3. Senior Management takes action on the reported findings and recommendations and provides feedback	Senior Management Feedback Report							
SUB-TOTAL (9 X 4 = 36)									

	4. EHW MANAGEMENT SYSTEM EVALUATION, CORRECTIVE AND PREVENTIVE ACTION								

ELEMENT	CRITERIA	MEANS OF VERIFICATION	SCORE/AWARDS						COMMENTS
			Y	N	1	2	3	4	
4.2 EHW MANAGEMENT SYSTEM, INCIDENTS, NON-CONFORMANCES, CORRECTIVE AND PREVENTIVE ACTION **INTENT**: Prevent non-conformances of the EHW Management system requirements such as policy and standards	4.2.1. System established to identify non-conformances and incidents in the EHW Management system.	Corrective and Preventive Action Plan							
	4.2.2. Documented Procedures that cover responsibilities for carrying out corrective and preventive actions	SOP on corrective actions							
4.3 EHW MANAGEMENT SYSTEM RECORDS **INTENT**: To establish and maintain procedures for the identification, maintenance and distribution of EHW related records	4.3.1. Procedures ensuring the identification, maintenance and disposal of EHW records available	SOP on Record Management							
	4.3.2. Records are legible, Identifiable, traceable, protected, retained, confidential and auditable	Individual case files COID files Case registers Sample records							
SUB-TOTAL (4 x 4 = 16)									

	4. EHW MANAGEMENT SYSTEM EVALUATION, CORRECTIVE AND PREVENTIVE ACTION									
ELEMENT	**CRITERIA**	**MEANS OF VERIFICATION**	SCORE/AWARDS						**COMMENTS**	
			Y	N	1	2	3	4		
4.4 EHW MANAGEMENT SYSTEM AUDIT **INTENT**: Review and continuously improve the management, compliance and effectiveness of the programme.	4.4.1. Annual systems audit carried out to determine if the requirement for the EHW Management system has been met.	EHW Management System Audit Report								
	4.4.2. The department's objectives and targets are being met as determined	Audit Report								
	4.4.3. Previous audit results and non-conformances reviewed and closed	Corrective Action Plan								
SUB-TOTAL (3 X 4 = 12)										
TOTAL: HIGHEST SCORE 16 x 4 CRITERIA = 64 (maximum rating)										

	5. EHW MANAGEMENT SYSTEM REVIEW								
ELEMENT	CRITERIA	MEANS OF VERIFICATION	SCORE/AWARDS						COMMENTS
			Y	N	1	2	3	4	
5.1 EHW MANAGEMENT SYSTEM REVIEW **INTENT**: Ensure sustainable and continuous improvement and effectiveness.	5.1.1. Full EHW Management performance reviewed by Senior Management.	EHW Management System Review Report							
	5.1.2. Senior Management has taken action for any recommendations for system changes.								
	5.1.3. EHW Management system review considers statistics, audit results, and other performance indicators.								
	5.1.4. Other relevant parties provided with access to results of review.								
	5.1.5.Policy reviewed to reflect changing conditions and information								
	5.1.6.Review frequency identified and documented								
	5.1.7. Sustainability performance indicators related to EHW Management identified and documented.								
TOTAL: HIGHEST SCORE 7 x 4 CRITERIA = 28 (maximum rating)									

TABLE 3: RECORD OF ASSESSMENT SCORES PER ELEMENT

CATEGORY	ELEMENT	HIGHEST SCORE	YOUR SCORE	YOUR AWARD
A	Commitment to EHW Management policies			
B	Planning of the EHW Management system			
C	Implementation and operation of the EHW Management system			
D	EHW Management system evaluation, corrective and preventive action			
E	EHW Management review			
TOTAL				

Formula for calculation: -   Your score is the total number of awards you allocated per element (33)

- Highest score is the highest number of awards you can allocate (76)

- Your overall   award is (2), i.e.   33 (Your Score) x 4   = 2
  76 (Highest Score)

TABLE 4: GRAPHICAL PRESENTATION OF ASSEMENT SCORES PER ELEMENT

Levels of Readiness (Awards)

4					
3					
2					
1					
0	A	B	C	D	E

Elements of Readiness

TABLE 5:- RECOMMENDED ACTIONS FOR OVERALL ASSEMENT OF LEVEL OF READINESS

SCORE ACHIEVED	OVERALL ASSESSMENT OF LEVEL OF READINESS TO IMPLEMENT
1	Scores in this category are assessed as a <u>very low level</u> of readiness in the area for which the score was derived. Careful assessment must be made as to the extent to which more capacity is needed in this area to implement particular provisions of the EHWS. If this area can have an effect, it will be advisable to develop capacity in this area before adoption of initiatives which may be affected. This must be reflected in your implementation plan.
2	This is assessed as a <u>low level</u> of readiness. If this area has the potential of affecting initiatives to be undertaken, it will also be prudent to apply corrective measures in order to develop capacity. The initiative may not fail as a result of this level of readiness, but there will be significant difficulties during implementation. If scores fall into this category, your department is not quite ready.
3	Scores in this category are assessed as <u>average.</u> Here, initiatives which may be affected can be undertaken, but efforts must be made to address weaknesses and threats in one's implementation plan. Potential constraints could be mediated through careful planning.
4	This score is assessed as a <u>high level</u> of readiness. Here, the department will be assessed to have an appropriative departmental infrastructure for effectively adopting initiatives of the EHWS. With scores at this level, very few hurdles are anticipated in implementation. While constraints may arise, many of them will be unanticipated, and could not really be predicted. Notwithstanding, one's implementation plan must also cater for contingencies.

TABLE 6: ACTION PLAN FOR IDENTIFIED GAPS

CATEGORY OF DEPARTMENTAL READINESS	READINESS ASSESSMENT LEVEL	IDENTIFIED GAPS	RECOMMENDED ACTIONS (to be used for operational planning)
Commitment to EHW Management policies			
Planning of the EHW Management system			
Implementation and operation of the EHW Management system			
EHW Management system evaluation, corrective and preventive action			
EHW Management review			