



STEP- BY-STEP GUIDE FOR IMPLEMENTATION OF
HIV&AIDS AND TB
MANAGEMENT SYSTEMS
IN THE PUBLIC SERVICE

ANNEXURE C

MARCH 2012



TABLE OF CONTENT

1.INTRODUCTION	3
2.PURPOSE	3
3.TERMS AND DEFINITIONS	4
4.GENERAL ELEMENTS OF THE HIV&AIDS AND TB MANAGEMENT SYSTEM	6
4.1.ELEMENT 1: COMMITMENT AND HIV&AIDS AND TB MANAGEMENT POLICY	7
4.2.ELEMENT 2: PLANNING OF HIV&AIDS AND TB MANAGEMENT SYSTEM	9
4.3.ELEMENT 3: IMPLEMENTATION AND OPERATION OF HIV&AIDS AND TB MANAGEMENT SYSTEM	12
4.4.ELEMENT 4: HIV&AIDS AND TB MANAGEMENT SYSTEM EVALUATION,CORRECTIVE AND PREVENTIVE ACTION	19
4.5.ELEMENT 5: HIV&AIDS AND TB MANAGEMENT SYSTEM REVIEW	23
5.BIBLIOGRAPHY	24



1. INTRODUCTION

The Employee Health and Wellness Strategic Framework (EHWSF) serves as a broad guideline for the implementation of Employee Health and Wellness in the Public Service. HIV&AIDS and TB Management is one of the four pillars in the EHWSF, of which a policy have been developed. This Step-by-Step Guide is meant to operationalize the implementation of the HIV&AIDS and TB Management Policy in a sequential manner. Departments are guided to focus on five key elements for implementation, namely:

- Commitment and HIV&AIDS and TB Policy
- Planning of the HIV&AIDS and TB system
- Implementation and operation of the HIV&AIDS and TB management system
- HIV&AIDS and TB management system evaluation, corrective and preventive action
- HIV&AIDS and TB management system review

The guide is based on AIDS Management Standard (AMS16001:2003), SANS 16001:2007 as well as National TB Practice Guidelines:2007. The guide will therefore form the basis for development of the workplace HIV&AIDS and TB Management Monitoring Tool or Standard Operating Procedure, against which departmental management systems can be assessed and graded.

2. PURPOSE

This guide is intended for implementation by all Public Service departments to assist them to:

- 2.1 Establish, maintain and improve on HIV&AIDS and TB management systems;
- 2.2 Assure each department of its conformance with its stated HIV&AIDS and TB management policy



2.3 Demonstrate such conformance to others;

3. TERMS AND DEFINITIONS

For the purpose of this Guide, the following terms and definitions apply.

3.1 Continual improvement

Recurring process of enhancing HIV&AIDS and TB management system in order to achieve improvements in overall HIV&AIDS and TB management performance consistent **with the department's HIV&AIDS and TB management policy and procedures**

3.2. HIV&AIDS and TB determinant

An activity, process, service or situation with a potential for increasing any **person's risk of contracting HIV or TB**

3.3 HIV&AIDS and TB management objective

Overall HIV&AIDS and TB management goals, targets, objectives and success criteria consistent with the HIV&AIDS and TB management policy which the department sets out to achieve

3.4 HIV&AIDS and TB management performance

Measurable results of the department's management of its HIV&AIDS and TB determinants.

Note: In the context of this guide, results can be measured against the department's HIV&AIDS and TB management policy, HIV&AIDS and TB management targets,



objectives and success criteria and other HIV&AIDS and TB management performance requirements

3.5 HIV&AIDS and TB management system

Part of the department's organizational support system used to develop and implement HIV&AIDS and TB policy, and manage its HIV&AIDS and TB determinants.

Note: A management system is a set of interrelated elements used to establish policy and objectives and achieve those objectives. A management system includes departmental structure, planning activities responsibilities, practices, procedures, processes and resources (SANS, 16001:2007)

3.6 HIV&AIDS and TB management target

Detailed performance requirement, applicable to the department or parts thereof, that arises from the HIV&AIDS and TB management objectives, that needs to be set and met in order for those objectives to be achieved.

3.7 HIV&AIDS and TB management policy

Overall intention and direction of the department related to its HIV&AIDS and TB management performance as formally expressed by the senior management.



3.8 Susceptibility

Increased risk of being infected with HIV or TB due to certain factors

3.9 Vulnerability

Impact and possible or probable consequences, for example, the increased likelihood of greater costs, financial or otherwise, as a consequence of increased morbidity and mortality as a result of HIV&AIDS epidemic.

The Department shall establish and maintain a HIV&AIDS and TB Management system. There are a number of elements that make up a successful HIV&AIDS and TB Management system. These elements are shown in Figure 1.



4. GENERAL ELEMENTS OF HIV&AIDS AND TB MANAGEMENT SYSTEM

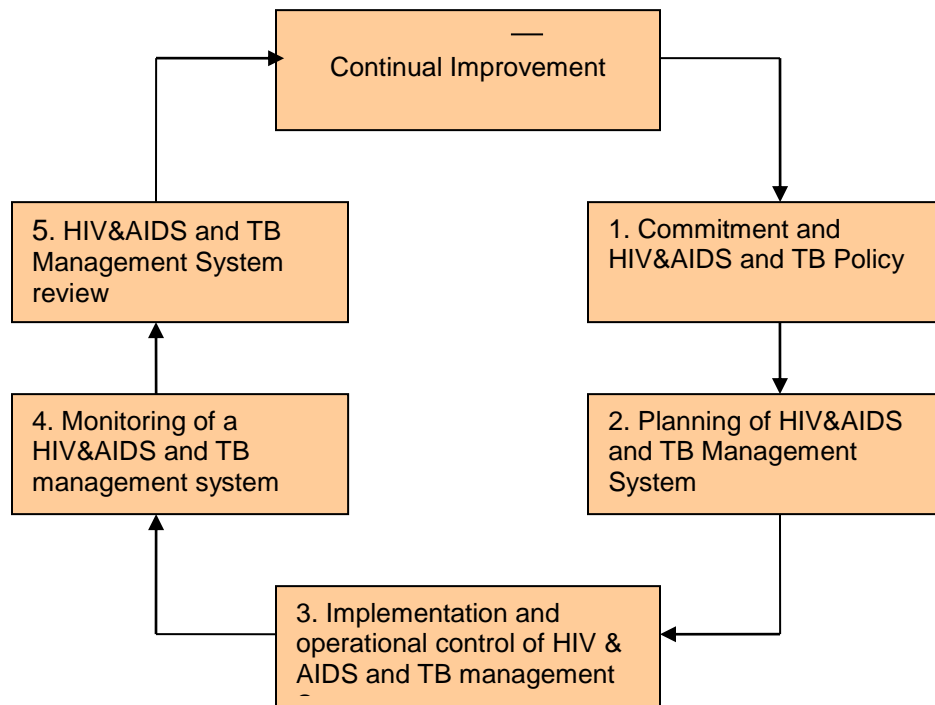


Figure 1: Elements of the HIV&AIDS and TB Management System

4.1 Element 1 – Commitment and HIV&AIDS and TB Management Policy

4.1.1. Commitment, Initial Review and HIV&AIDS and TB Management Policy

This element comprises of the following sub-elements or activities

- a) HIV&AIDS and TB determinant, identification and risk assessment
- b) Corporate standards
- c) Legal and other requirements
- d) Departmental risk management strategy
- e) Identification of all role-players and election of a committee



There shall be an HIV&AIDS management policy authorised by the department's senior management that clearly states overall HIV&AIDS and TB management objectives and a commitment to reduce HIV&AIDS and TB risk exposures.

The policy shall:

- a) **Be appropriate to the nature and scale of the organisation's** HIV&AIDS and TB related risks;
- b) Address assistance to employees, their spouses, life partners, children, orphans and immediate family;
- c) Include a commitment to continual improvement;
- d) Include a commitment to at least comply with current applicable legislation and with other requirements to which the department subscribes;
- e) Include a commitment to prevention of HIV&AIDS and TB risk exposures;
- f) Address workplace issues such as recruitment, performance evaluation criteria, disciplinary measures, dismissal, death, testing confidentiality and disclosure etc;
- g) Be documented, implemented and maintained;
- h) Be communicated to all employees with the intent that employees are made aware of their individual HIV&AIDS and TB prevention obligations;
- i) Be communicated and available to interested parties, employee spouses, life partners, children, orphans, immediate family and other;
- j) Be reviewed periodically to ensure that it remains relevant and appropriate to the department.



4.2. Element 2 – Planning Of HIV&AIDS and TB Management System

This element comprises of the following sub-elements and activities:

- 4.2.1 HIV&AIDS and TB determinant, identification and risk assessment
 - 4.2.2 Legal and other requirements
 - 4.2.3 HIV&AIDS and TB management system objectives and targets
 - 4.2.4 HIV&AIDS and TB management system plans
-
- 4.2.1 Identification of HIV&AIDS and TB determinants and evaluation of related risks

The department shall establish and maintain procedures for the ongoing identification of factors that subtly promote the possibility of HIV&AIDS and TB risk exposure, HIV&AIDS and TB determinants, the assessment of risks, and the implementation of necessary education measures. The department shall consider all its activities, products and services that may have an impact on the HIV&AIDS and TB management system performance that it can control and over which it is expected to have an influence.

These shall include:

- a) routine and non-routine activities;
- b) activities of all personnel having access to the workplace (including subcontractors and visitors);
- c) facilities at the workplace, whether provided by the department or others;
- d) community and social factors.



The department shall ensure that the results of these assessments and the effects of these controls are considered when setting its HIV&AIDS and TB management objectives. The department shall document this information and keep it up to date.

The department's methodology for HIV&AIDS and TB determinant identification and risk assessment shall:

- a) be defined with respect to its scope, nature and timing to ensure it is proactive rather than reactive;
- b) provide for the classification of risks and identification of those that are to be eliminated or controlled by measures as defined under performance indicators;
- c) **be consistent with the department's risks and the capabilities of control measures employed;**
- d) provide input into the determination of facility requirements, identification of education and awareness needs, and/or development of management system controls; and
- e) provide for the monitoring of required actions to ensure both the effectiveness and timeliness of their implementation.

NOTE: For further guidance on HIV&AIDS and TB determinant identification, risk assessment and risk control, see HIV&AIDS and TB Management System Monitoring Tool.

4.2.2 HIV&AIDS and TB-related legal and other requirements

The department shall establish and maintain a procedure for identifying and accessing the legal and other HIV&AIDS-related requirements that are applicable to it. The department shall keep this information up-to-date. It shall communicate



relevant information on legal and other requirements to its employees and other relevant interested parties.

4.2.3 HIV&AIDS and TB management system objectives and targets

The department shall establish and maintain documented HIV&AIDS and TB management objectives, at each relevant function and level within the department. Objectives should be quantified wherever practicable.

When establishing and reviewing its objectives, a department shall consider its legal and other requirements, its HIV&AIDS and TB-related risks, its technological options, its financial and operational controls and organizational requirements, and the views of interested parties.

The objectives shall be consistent with the HIV&AIDS and TB policy, including the commitment to continual improvement and prevention of HIV&AIDS and TB risk exposures.

4.2.3 HIV&AIDS and TB management system plan(s)

The department shall establish and maintain HIV&AIDS and TB management operational plans for achieving its objectives and targets. This shall include documentation of:

- a) The designated responsibility and authority for achievement of the objectives and targets at relevant functions and levels of the department;
and
- b) The means and time-scale by which objectives are to be achieved.



The HIV&AIDS and TB management operational plan(s) shall be reviewed at regular and planned interval, among others, for mainstreaming, costing and M&E purposes

Where necessary the HIV&AIDS and TB management operational plan(s) shall be amended to address changes to the activities, products, services, or operating conditions of the department.

4.3 Element 3 – Implementation and Operation of HIV&AIDS and TB Management System

This element comprise of the following sub-elements and activities:

- 4.3.1 Structure and responsibility
- 4.3.2 Awareness, education and competence
- 4.3.3 HIV&AIDS and TB management communication
- 4.3.4 HIV&AIDS and TB management system documentation
- 4.3.5 Operational controls for HIV&AIDS and TB
- 4.3.6 Emergency planning and response

4.3.1 Structure, responsibility and accountability for HIV&AIDS and TB management system

The roles, responsibilities and authorities shall be defined, documented and communicated in order to facilitate effective HIV&AIDS and TB management. Management shall provide resources essential to the implementation and management of the HIV&AIDS and TB management system. Resources include human resources, specialized skills, technology and financial resources.



Ultimate responsibility for management of HIV&AIDS and TB-related risks rests with senior management.

The department shall appoint a member of senior management (e.g. in a large department, with particular responsibility for ensuring that the HIV&AIDS and TB management system is properly implemented and performing to requirements in all locations and spheres of operation within the department.

The department's management appointee shall have a defined role, responsibility and authority for:

- a) Ensuring that HIV&AIDS and TB management system requirements are established, implemented and maintained in accordance with this Standard specification;
- b) Ensuring that reports on the performance of the HIV&AIDS and TB management system are presented to top management for review and as a basis for improvement of the HIV&AIDS and TB management system;
- c) Representing the workforce and/or community on an HIV&AIDS and TB management committee.
- d) All those with management responsibility shall demonstrate their commitment to the continual improvement and prevention of HIV&AIDS and TB risk exposures.



4.3.2 HIV&AIDS and TB management system awareness, education and competence

Personnel shall be competent to perform tasks that may impact on the risk of exposures of HIV&AIDS and TB in the workplace, school, playgroup, sporting facility or institution.

Competence shall be defined in terms of appropriate education and/or experience. The department shall identify HIV&AIDS and TB management-related awareness and education needs. All personnel whose work may create a risk of HIV&AIDS and TB exposure or a risk to performance of the management system should have appropriate awareness and education.

The department shall establish and maintain procedures to ensure that its employees, members, teachers, children etc. at each relevant function and level are aware of:

- a) The importance of conformance to the HIV&AIDS and TB management policy and procedures, and to the requirements of the HIV&AIDS and TB management system;
- b) The consequences of HIV exposure;
- c) Their roles and responsibilities in achieving conformance to the HIV&AIDS and TB management policy and procedures and to the requirements of the HIV&AIDS and TB management system, including emergency preparedness and response requirements
- d) The potential consequences of departure from specified operating procedures.

Awareness and education procedures shall take into account differing levels of:



- (i) Responsibility, ability and literacy; and
- (ii) Risk.

4.3.3 HIV&AIDS and TB management system communication

The department shall establish and maintain procedures for ensuring that pertinent HIV&AIDS and TB management system information is communicated to and from employees and other interested parties including the immediate community.

Employee involvement and consultation arrangements shall be documented and interested parties informed.

Procedures are required for

- a) Internal communication between the various levels and functions of the department;
- b) Receiving, documenting and responding to relevant communication from external interested parties.

The department shall consider processes for external communication on its HIV&AIDS and TB-related risks and record its decisions.

Employees shall be:

- a) Involved in the development and review of policies and procedures to manage risks of HIV and TB exposures;
- b) Consulted where there are any changes that affect workplace HIV&AIDS and TB-related impacts;
- c) Represented on HIV&AIDS and TB-related occupational health and safety matters; and



- d) Informed as to who are their employee HIV&AIDS and TB peer educator(s) and specified management appointee.

4.3.4 HIV&AIDS and TB management system documentation

The department shall establish and maintain information, in a suitable medium such as paper or electronic form, that:

- a) Describes the core elements of the management system and their interaction; and
- b) Provides direction to related documentation.

NOTE: It is important that documentation is kept to the minimum required for effectiveness and efficiency.

4.3.5 HIV&AIDS and TB management system document control

The department shall establish and maintain procedures for controlling all documents and data required by the National and International HIV&ADS and TB Management System specifications to ensure that:

- a) They can be located;
- b) They are periodically reviewed, revised as necessary and approved for adequacy by authorised personnel;
- c) Current versions of relevant documents and data are available at all locations where operations essential to the effective functioning of the HIV&ADS and TB management system are performed;
- d) Obsolete documents and data are promptly removed from all points of issue and points of use or otherwise assured against unintended use; and



- e) Archival documents and data retained for legal or knowledge preservation purposes, or both, are suitably identified.

All documentation shall be confidential, legible, dated and readily identifiable, maintained in an orderly manner and retained for a specific period.

Procedures and responsibilities shall be established and maintained concerning the creation and modification of the various types of documents.

4.3.6 Operational controls and management of HIV&AIDS and TB management system

The department shall identify those operations and activities that could influence the status of the HIV&AIDS and TB management system and exposure of risks where management actions need to be applied. The department shall plan these activities in order to ensure that they are carried out under specified conditions by:

- a) Establishing and maintaining documented procedures to cover situations where their absence could lead to deviations from the HIV&AIDS and TB management policy and the objectives;
- b) Stipulating operational controls and/or criteria in the procedures (e.g. provision of ART);
- c) Establishing and maintaining procedures related to the identified HIV&AIDS and TB-**related risks due to the departments' activities and** communicating relevant procedures and requirements to spouses, life partners, children, orphans, immediate family, suppliers and contractors.



- d) Establishing and maintaining procedures for medical and protective equipment, treatment and other specific controls in order to eliminate or reduce HIV&AIDS and TB risk exposures.

4.3.7 Emergency response and control of the HIV&ADS and TB management system

The department (including schools, playgroups, institutions, sporting facilities etc.) shall establish and maintain plans and procedures to identify the potential for, and responses to incidents and occupational emergency situations, and for preventing and mitigating the likely HIV or TB exposure that may be associated with them.

The department shall review its related emergency preparedness and response plans and procedures, in particular after potential HIV exposure. The department shall periodically test such procedures where practicable.



4.4 Element 4 – HIV&AIDS and TB Management System Evaluation, Corrective and Preventive action

This element comprise of the following sub-elements and activities:

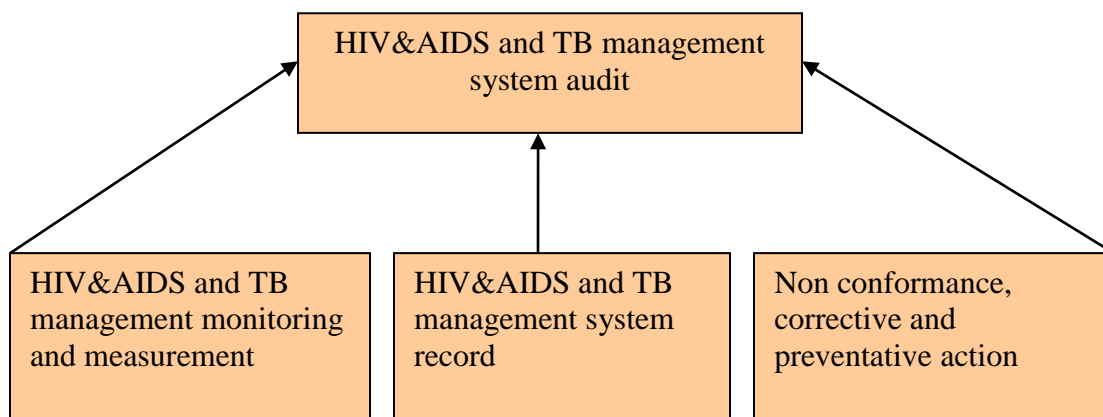


Figure 2: HIV&AIDS and TB management checking and corrective action (reprinted from AMS 16001:2003)

4.4.1 HIV&AIDS and TB management system monitoring and measurement

The department shall establish and maintain documented procedures to monitor and measure HIV&AIDS and TB management system performance regularly. These procedures shall provide for:

- a) Both qualitative and quantitative measures, appropriate to the needs of the department;
- b) **Monitoring of the extent to which the department's HIV&AIDS and TB management objectives and targets are met;**



- c) Proactive measures of performance that monitor compliance with the HIV&AIDS and TB management system, management system controls and applicable legislation and regulatory requirements;
- d) Reactive measures of performance to monitor potential occupational and other exposures such as ill health and other historical evidence of a deficient HIV&AIDS and TB management system;
- e) Recording of data and results of monitoring and measurement sufficient to facilitate subsequent corrective and preventive actions.

If medical and protective equipment is required for performance measurement and monitoring, the department shall establish and maintain procedures for the calibration, maintenance and selection of such equipment. Records of calibration and maintenance issues and selection criteria and related results shall be retained **according to the department's procedures.**

The department shall establish and maintain a documented procedure for periodically evaluating compliance with relevant HIV&AIDS and TB-related legislation and regulations.

4.4.2 HIV&AIDS and TB management-system incidents, non- conformances, corrective and preventive action

The department shall establish and maintain procedures for defining responsibility and authority for the handling and investigation of:

- a) Incidents (occupational and non-occupational exposures) including contact with blood during sport activities, incidental play activities at schools, playgroups;
- b) Non-conformances e.g. children using drugs, sharing needles, sexual activities, rape cases, assaults or alcohol abuse;



- c) Action taken to mitigate any consequences arising from incidents or non-conformances;
- d) The initiation and completion of corrective and preventive actions;
- e) Confirmation of the effectiveness of corrective and preventive actions taken.

For the purpose of processing employees claim for compensation, each department shall ensure that it is registered with department of labour as an entity

These procedures shall require that all proposed corrective and preventive actions should be reviewed through the risk assessment process prior to implementation.

Any corrective or preventive action taken to eliminate the causes of actual and potential non-conformances shall be appropriate to the magnitude of problems and commensurate with the HIV&AIDS or TB risk encountered.

The department shall implement and record any changes in the documented procedures resulting from corrective and/or preventive action.

4.4.3 HIV&AIDS and TB management system records

The department shall establish and maintain procedures for the identification, maintenance and disposition of HIV&AIDS or TB -related records, as well as the results of audits and reviews.

HIV&AIDS and TB-related records shall be confidential, legible, identifiable and traceable to the activities involved.



HIV&AIDS and TB-related reports shall be stored and maintained in such a way that they are readily retrievable and protected against damage, deterioration or loss. Their retention times shall be established and recorded. Records shall be maintained, as appropriate to the system and to the department, to demonstrate conformance to the SOP.

4.4.4 HIV&AIDS and TB management system audit

The department shall establish and maintain an audit programme and procedures for periodic HIV&AIDS and TB management system audits to be carried out, in order to:

- a) Determine whether or not the HIV&AIDS and TB management system:
 - (i) conforms to planned arrangements for HIV&AIDS and TB management, including
 - (ii) the requirements of this HIV&AIDS and TB Management Standard specification;
 - (iii) has been properly implemented and maintained; and
 - (iv) **is effective in meeting the department's policy and objectives;**
- b) Review the results of previous audits;
- c) Provide information on the results of audits to management.

The audit programme, including any schedule, shall be based on the results of risk **assessments of the department's activities, and the results of previous audits.** The audit procedures shall cover the scope, frequency, methodologies and competencies, as well as the responsibilities and requirements for conducting audits and reporting results.



Wherever possible, audits shall be conducted by personnel independent of those having direct responsibility for the activity being examined.

NOTE: The word “independent” here does not necessarily mean external to the department

The steering committee will be responsible for the moderation of the audit process and audit results. A pre-determined grading system shall be used to grade the **department’s overall HIV&AIDS and TB management system performance.**

4.5 Element 5 – HIV&AIDS and TB Management System Review

4.5.1 HIV&AIDS and TB management system review

The department’s senior management shall, at intervals that it determines, review the HIV&AIDS and TB management system, to ensure its continuing suitability, adequacy and effectiveness. The management review process shall ensure that the necessary information is collected to allow management to carry out this evaluation. This review shall be documented.

The management review shall address the possible need for changes to policy, objectives and other elements of the HIV&AIDS and TB management system, in the light of HIV&AIDS and TB management system audit results, changing circumstances and the commitment to continual improvement.



5. Bibliography

1. AMS 16001:2003- Standard for HIV&AIDS Management system-Specification Document
2. SANS 16001:2007- South African National Standard: HIV&AIDS management system- General Requirements
3. National Tuberculosis Strategic Framework 2007-2011: Managing TB and HIV