

STEP- BY-STEP GUIDE FOR IMPLEMENTATION OF THE
HEALTH AND PRODUCTIVITY MANAGEMENT POLICY SYSTEM
IN THE PUBLIC SERVICE

ANNEXURE C



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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. Health and Productivity Management (HPM) 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 HPM Policy in a sequential manner. Departments are guided to focus on five key elements for implementation, namely:

- Commitment and HPM Policy
- Planning of the HPM system
- Implementation and operation of the HPM system
- HPM system evaluation, corrective and preventive action
- HPM review

The guide will form the basis for development of the workplace HPM 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 HPM systems;
- 2.2 Assure each department of its conformance with its stated HPM policy; and
- 2.3 Demonstrate such conformance to others.

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3. TERMS AND DEFINITIONS

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

3.1 Continual improvement

Recurring process of enhancing the HPM system in order to achieve improvements in overall HPM performance consistent with the department's HPM policy and procedures.

3.2 Ill-Health determinant

An activity, process, service or situation with a potential for increasing any person's risk of being unhealthy.

3.3 HPM objectives

Overall HPM goals, targets, objectives and success criteria consistent with the HPM policy which the department sets out to achieve.

3.4 HPM performance

Measurable results of the department's management of its ill-health determinants.

Note: In the context of this guide, results can be measured against the department's HPM policy, HPM targets, objectives and success criteria and other HPM performance requirements.



3.5 HPM system

Part of the department's organizational support system used to develop and implement the HPM policy, and manage its Ill-Health 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.

3.6 HPM targets

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

3.7 HPM Policy

Overall intention and direction of the department related to its HPM performance as formally expressed by senior management.

4. ELEMENTS OF THE HPM SYSTEM

The Department shall establish and maintain a HPM system. There are a number of elements that make up a successful HPM system. These elements are shown in Figure 1.

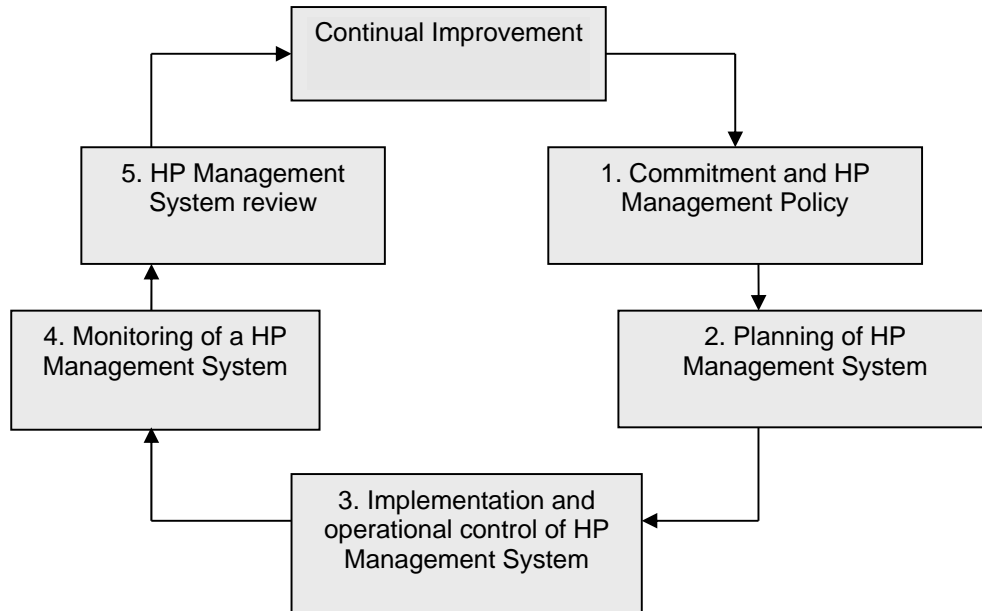


Figure 1: Elements of the HPM System

4.1 Element 1: Commitment and HPM Policy

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

- 4.1.1 Ill-Health determinant, identification and risk assessment
- 4.1.2 Corporate standards
- 4.1.3 Legal and other requirements
- 4.1.4 Departmental risk management strategy
- 4.1.5 Identification of all role-players and election of a committee

There shall be a HPM policy authorized by the Head of Department (HOD) that clearly states overall HPM objectives and a commitment to improve the health and wellbeing, and productivity of employees.



The policy shall:

- a) Be appropriate to the nature and scale of the organisation's health risks;
- b) Address assistance to employees and their 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 health risk exposures;
- f) Be documented, implemented and maintained;
- g) Be communicated to all employees with the intent that employees are made aware of their individual responsibilities towards wellness;
- h) Be communicated and available to interested parties, employee spouses, life partners, children, orphans, immediate family and other;
- i) Be reviewed periodically to ensure that it remains relevant and appropriate to the Department.

4.2 Element 2: Planning of the HPM System

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

4.2.1 Identification of Ill-Health determinants and evaluation of related tasks

The department shall establish and maintain procedures for the ongoing identification of factors that subtly promote the possibility of health risk exposure, ill-health 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 HPM 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;
- e) The department shall ensure that the results of these assessments and the effects of these controls are considered when setting its HPM objectives. The department shall document this information and keep it up to date;
- f) The department's methodology for Ill-Health determinant identification and risk assessment shall:
 - i. be defined with respect to its scope, nature and timing to ensure it is proactive rather than reactive;
 - ii. provide for the classification of risks and identification of those that are to be eliminated or controlled by measures as defined under performance indicators;
 - iii. be consistent with the department's risks and the capabilities of control measures employed;
 - iv. provide input into the determination of facility requirements, identification of education and awareness needs, and/or development of management system controls; and
 - v. provide for the monitoring of required actions to ensure both the effectiveness and timeliness of their implementation.

NOTE: For further guidance Ill-Health determinant identification, risk assessment and risk control, see HPM System – SOP for Process Monitoring document.



4.2.2 HPM related legal and other requirements

The department shall establish and maintain a procedure for identifying and accessing the legal and other wellness-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 HPM system objectives and targets

The department shall establish and maintain documented HPM objectives, at each relevant function and level within the department. Objectives should be quantified wherever practicable.

When establishing and reviewing its objectives, the department shall consider its legal and other requirements, its HPM-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 HPM policy, including the commitment to continual improvement and prevention of health risk exposures.

4.2.4 HPM system plan(s)

The department shall establish and maintain HPM 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;



- b) The means and time-scale by which objectives are to be achieved.

The HPM plan(s) shall be reviewed at regular and planned intervals, among others, for mainstreaming, costing and M&E purposes. Where necessary the HPM 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 the HPM System

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

4.3.1 Structure, responsibility and accountability for HPM system

The roles, responsibilities and authorities shall be defined, documented and communicated in order to facilitate effective HPM. Management shall provide resources essential to the implementation and management of the HPM system. Resources include human resources, specialized skills, technology and financial resources. Ultimate responsibility for management of wellness-related risks rests with senior management.

The department shall appoint a member of senior management with particular responsibility for ensuring that the HPM System is properly implemented and performing to requirements in all sections and spheres of operation within the department. The department's management appointee shall have a defined role, responsibility and authority for:

- a) Ensuring that HPM system requirements are established, implemented and maintained in accordance with this Standard specification;



- b) Ensuring that reports on the performance of the HPM system are presented to top management for review and as a basis for improvement of the HPM system; and
- c) Representing the employees in the HPM committee.

All those with management responsibility shall demonstrate their commitment to the continual improvement and prevention health risk exposures.

4.3.2 HPM system awareness, education and competence

Employees shall be competent to perform tasks that may impact on health risk exposures in the workplace, sporting facility or institution. Competence shall be defined in terms of appropriate education and/or experience. The department shall identify Wellness-related awareness and education needs. All employees whose work may create a health 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 and their immediate families, at each relevant function and level are aware of:

- a) The importance of conformance to the HPM policy and procedures, and to the requirements of the HPM system;
- b) The consequences of health risk exposure;
- c) Their roles and responsibilities in achieving conformance to the HPM policy and procedures and to the requirements of the HPM system, including emergency preparedness and response requirements;
- d) The potential consequences of departure from specified operating procedures;



- e) Awareness and education procedures shall take into account differing levels of responsibility, ability and literacy; and risk.

4.3.3 HPM system communication

The department shall establish and maintain procedures for ensuring that pertinent HPM system information is communicated to and from employees and other interested parties including the immediate family. 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, and
- c) The department's consideration for processes for external communication on its HPM-related risks and record its decisions.

Employees shall be:

- a) Involved in the development and review of policies and procedures to manage health risk exposures;
- b) Consulted where there are any changes that affect workplace HPM-related impacts;
- c) Represented on HPM-related occupational health and safety matters; and
- d) Informed as to who are their peer educator(s) and specified management appointee.



4.3.4 HPM 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;
- 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 HPM system document control

The department shall establish and maintain procedures for controlling all documents and data required by the National and International HPM System specifications to ensure that:

- a) They can be located;
- b) They are periodically reviewed, revised as necessary and approved for adequacy by authorized personnel;
- c) Current versions of relevant documents and data are available at all locations where operations essential to the effective functioning of the HPM 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 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 HPM system

The department shall identify those operations and activities that could influence the status of the HPM system and exposure 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 HPM policy and objectives thereof;
- b) Stipulating operational controls and/or criteria in the procedures;
- c) Establishing and maintaining procedures related to the identified wellness-related risks due to the departments' activities and communicating relevant procedures and requirements to spouses, immediate family, suppliers and contractors; and
- d) Establishing and maintaining procedures for medical and protective equipment, treatment and other specific controls in order to eliminate or reduce health risk exposures.

4.3.7 Emergency response and control of the HPM system

The department 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 health risk exposure that may be associated with them.

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

4.4 Element 4: HPM System Evaluation, Corrective and Preventive action

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

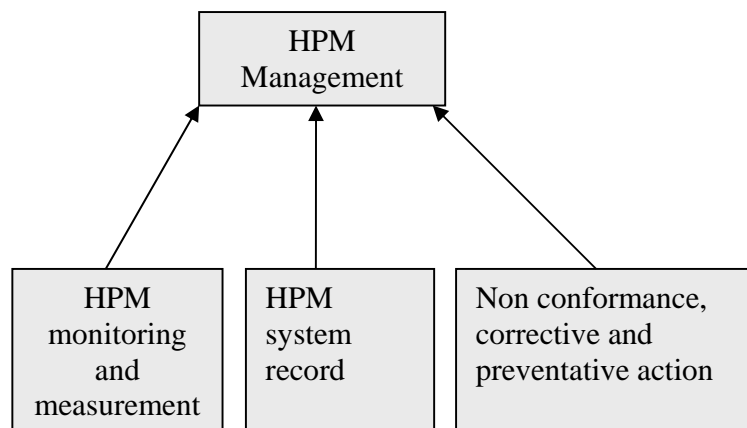


Figure 2: HPM checking and corrective action

4.4.1 HPM system monitoring and measurement

The department shall establish and maintain documented procedures to monitor and measure HPM 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 HPM objectives and targets are met;
- c) Proactive measures of performance that monitor compliance with the HPM 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 HPM system; and
- 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 HPM-related legislation and regulations.

4.4.2 HPM 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;
- b) Non-conformances e.g. 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; and
 - 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 health risk encountered. The department shall implement and record any changes in the documented procedures resulting from corrective and/or preventive action.

4.4.3 HPM system records

The department shall establish and maintain procedures for the identification, maintenance and disposition of HPM-related records, as well as the results of audits and reviews. HPM-related records shall be legible, identifiable and traceable to the activities involved.

HPM-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 HPM system audit

The department shall establish and maintain an audit programme and procedures for periodic HPM system audits to be carried out, in order to:



- a) Determine whether or not the HPM system conforms to planned arrangements for HPM including the:
 - i. requirements of this HPM Standard specification;
 - ii. has been properly implemented and maintained; and
 - iii. 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 wellness 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 HPM system performance.

4.5 Element 5: HPM System Review

4.5.1 HPM system review



The department's senior management shall, at intervals that it determines, review the HPM 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 HPM system, in the light of HPM system audit results, changing circumstances and the commitment to continual improvement.

5. Bibliography

- 5.1 AMS 16001:2003 – Standard for HIV&AIDS Management System – Specification Document
- 5.2 SANS 16001:2007 – South African National Standard: HIV&AIDS Management Systems – General Requirements

