



EHW MANAGEMENT SYSTEMS
MONITORING AND READINESS ASSESSMENT TOOL
FOR THE PUBLIC SERVICE
ANNEXURE

TABLE OF CONTENTS

SECTION NO	CONTENT	PAGE NO
	DEFINITIONS	2
	ACRONYMS AND ABBREVIATIONS	4
1	INTRODUCTION	6
1.1	PURPOSE, OBJECTIVES AND EXPECTED OUTCOMES	7
1.2	GENERIC ELEMENTS OF AN EFFECTIVE EH&W MANAGEMENT SYSTEM	8
1.3	SIGNIFICANCE OF THE ELEMENTS ON POLICY IMPLEMENTATION	8
2	INSTRUCTIONS ON HOW TO COMPLETE THE EH&W MANAGEMENT SYSTEM READINESS ASSESSMENT TOOL	11
3	THE ACTUAL ASSESSMENT PROCESS	13
3.1.	TABLE 1: THE RATING SCALE	14
3.2.	TABLE 2: ASSESSMENT TABLE WITH ELEMENTS, CRITERIA, MEANS OF VERIFICATION AND ALTERNATIVE RESPONSES	15
3.3.	TABLE 3: RECORD OF ASSESSMENT SCORES PER ELEMENT	35
3.4.	TABLE 4: GRAPHICAL PRESENTATION OF SCORES PER ELEMENT	36
3.5.	TABLE 5: RECOMMENDED ACTIONS FOR OVERALL ASSESSMENT OF LEVEL OF READINESS	37
4.	TABLE: 6 ACTION PLAN FOR IDENTIFIED GAPS	38

DEFINITIONS

<p>Situational Analysis</p>	<p>Systematic collection and evaluation of past and present economical, political, social and technological data. It is aimed at:</p> <ul style="list-style-type: none"> • 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.
<p>Integrated needs analysis (Also called needs assessment.)</p>	<p>Technique for determining the steps to be taken in moving from a current state to a desired future-state. It begins with:</p> <ul style="list-style-type: none"> • Listing of characteristic factors (such as attributes, competencies, performance levels) of the present situation (<i>“what is”</i>), • Cross-lists factors required to achieve the future objectives (<i>“what should be”</i>), and then • Highlights the 'gaps' that exist and need to be 'filled'.
<p>Impact assessment (IA)</p>	<p>Means of measuring the effectiveness of organizational activities and judging the significance of changes brought about by those activities.</p>
<p>Standard Operating Procedure</p>	<p>Established procedure to be followed in carrying out a given operation or in a given situation. 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".</p>
<p>Ill-health determinants</p>	<p>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.</p>

Operational controls	Operational control systems are designed to ensure that day-to-day actions are consistent with established plans and objectives. It focuses on activities in a recent period. Operational control systems are derived from the requirements of the departmental operational plans.
Pillar	Refers to the four functional pillars of the EHW strategic framework. They are: <ul style="list-style-type: none"> • HIV&AIDS, STI 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
HIRA	Hazard Identification and Risk Assessment
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:
 - HIV and AIDS,STI & TB Management
 - Health and Productivity Management
 - SHERQ Management (Safety, Health, Environment, Risk, and Quality)
 - Wellness Management

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

The intention with this EHW Management Systems Monitoring / Self 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 / Self 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 Systems Monitoring Tool (SMT) 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 SMT explores many aspects of organizational performance in respect of EHW, and provides EHW officials with the opportunity to reflect on their level of implementation the four EHW policies (HIV&AIDS and TB Management, Health and Productivity Management, SHERQ and Wellness Management). EHW coordinators and managers should use these guidelines to conduct the self assessment.

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 SYSTEMS MONITORING TOOL IS FOR:

- Assessment of organization`s level of implementation and proficiency
- Identification of gaps in capacity to implement EHW initiatives
- Promotion of discussion on EHW matters 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 SMT ARE:

- Assessment scores on 5 elements of EHW system
- More in-depth understanding about the basic requirements for a successful system for the implementation of EHW initiatives
- Operational 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, STI 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. Description of the Tool Components

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 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 of your department’s level of implementation.
Step 5	Analyze your overall assessment score and determine the level of implementation in your organization in each area of assessment (Table 5).
Step 6	Complete the 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 (Important)

Date of review.....(Important)

Responsible Person.....(Important)

Contact details (Tel):.....(Important)

3.1. RATING SCALE:

TABLE 1: THE RATING SCALE

SCORE /AWARD	DESCRIPTION OF THE IMPLEMENTATION 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 addresses EHW matters	Documented Departmental Strategy							
	1.1.1.1. Departmental Strategy addresses the following:								
	• HIV&AIDS, STI and TB Management	Documented Departmental Strategy							
	• HPM								
	• Wellness Management								
	• SHERQ Management								
	1.1.2.Four distinct EHW Policies developed for the following areas:								
	• HIV&AIDS, STI and TB Management	Documented four distinct EHW Policies							
	• HPM								
	• Wellness Management								
	• SHERQ Management								
	SUB-TOTAL: (4 X 9 CRITERIA = 36)								

1. COMMITMENT, INITIAL REVIEW AND EHW MANAGEMENT POLICIES

ELEMENT	CRITERIA	MEANS OF VERIFICATION	SCORE/AWARDS						COMMENTS
			Y	N	1	2	3	4	
1.1 COMMITMENT (continued)	1.1.3 Costed EHW Operational plans developed For the following areas:								
	• HIV&AIDS, STI and TB Management	Four distinct EHW costed Operational Plans							
	• HPM								
	• Wellness Management								
	• SHERQ Management								
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 all 4 EHW policies conducted								
	• HIV&AIDS, STI and TB Management	Report on situational analysis							
	• HPM								
	• Wellness Management								
	• SHERQ Management	IHRA Report							
SUB-TOTAL: (4 X 8 CRITERIA = 32)									
TOTAL (ELEMENT 1):									
HIGHEST SCORE 4 x 17 CRITERIA = 68 (maximum rating)									

2. PLANNING OF EHW MANAGEMENT SYSTEM

ELEMENT	CRITERIA	MEANS OF VERIFICATION	SCORE/AWARDS						COMMENTS
			Y	N	1	2	3	4	
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 Ongoing identification of Ill-health determinants of the department	Report on ill-health determinants e.g. Health Risk Assessors' report, surveys ,etc.							
	2.1.2 Impact assessment	Report on Impact assessment							
	2.1.3 Evaluation of significant risks	Report on Evaluation of risks from a legally competent service provider							
2.2 LEGAL AND OTHER REQUIREMENTS INTENT: Facilitate compliance with applicable legislation and regulatory requirements	2.2.1.Developed Specific Operating Procedure(s) for:								
	• HIRA	SOP on HIRA							
	• Management of IOD	SOP on IOD							
	• Management of COIDA	SOP on COIDA							
	• Management of PILI R	SOP on PILI R							
	• Management of contractors	SOP on Contractors							
SUB-TOTAL: (4 X 8 CRITERIA= 32)									

3.2 PLANNING OF EHW MANAGEMENT SYSTEM

ELEMENT	CRITERIA	MEANS OF VERIFICATION	SCORE/AWARDS						COMMENTS
			Y	N	1	2	3	4	
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	Annual Performance Plan							
2.4 EHW MANAGEMENT SYSTEM PLAN(S) INTENT: Establish objectives and targets and achieve them in a specified time frame.	2.4.1. EHW Operational plans with specified objectives, targets and timeframe developed for the following pillars:								
	• HIV & AIDS, STI and TB Management	HIV & AIDS,STIs and TB operational plan							
	• HPM	HPM operational plan							
	• Wellness Management	Wellness operational plan							
	• SHERQ Management	SHERQ operational plan							
SUB-TOTAL: (4 X 5 CRITERIA = 20)									
TOTAL (ELEMENT 2):									
HIGHEST SCORE 4 x 13 CRITERIA = 42 (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:								
	<ul style="list-style-type: none"> HIV&AIDS, STI and TB Management 	Documented Departmental structure with relevant EH&W profiles							
	<ul style="list-style-type: none"> HPM 								
	<ul style="list-style-type: none"> Wellness Management 								
	<ul style="list-style-type: none"> SHERQ Management 								
	3.1.3.Sufficient financial resources provided for EHW	Committed EHW budget within the Departmental Budget							
	3.1.4.Appointment/Assignment of EHW SMS with defined roles, responsibilities and authority	Departmental structure							
3.1.5. Defined roles & responsibilities for EHW staff	Annual Performance Agreement Job description								
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 letters of appointment by the HOD							
	3.2.2. Employee / labour organizations form part of the committee	Signed letters of appointment by the HOD							
SUB-TOTAL: (4 x 10 CRITERIA = 40)									

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

ELEMENT	CRITERIA	MEANS OF VERIFICATION	SCORE/AWARDS						COMMENTS
			Y	N	1	2	3	4	
3.2 EHW MANAGEMENT COMMITTEES (continued)	3.2.3.Roles & responsibilities of the committee are defined and documented	Terms of reference (TOR). Minutes of the committee meetings.							
3.3 EHW MANAGEMENT INFORMATION, AWARENESS, AND EDUCATION 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	EHW awareness programme plans							
	3.3.1.1.Implementation of awareness programmes is relevant to prevalent risks / impact relating to:								
	• HIV&AIDS, STI and TB Management	Report on awareness programmes conducted							
	• HPM								
	• Wellness Management								
	• SHERQ Management								
	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 awareness programmes that include diversity management.	EHW awareness programme plans							
	3.3.1.4.EHW awareness programmes integrated into existing HR policies and programmes	Documented induction programmes							
3.3.1.5.EHW policies are accessible to all employees	Departmental Communication Strategy								
SUB-TOTAL: (4 X 10 CRITERIA = 40)									

3.3 IMPLEMENTATION, OPERATIONAL CONTROLS AND MANAGEMENT OF EHW MANAGEMENT SYSTEM

ELEMENT	CRITERIA	MEANS OF VERIFICATION	SCORE/AWARDS						COMMENTS
			Y	N	1	2	3	4	
3.4 EHW MANAGEMENT SYSTEM COMMUNICATION INTENT: Share EHW information with interested and affected parties	3.4.1. System for internal and external communication is established	Departmental Communication Strategy							
	3.4.2. System for EH&W Annual Reporting	Quarterly and annual EHW reports							
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							
3.6 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:								
	<ul style="list-style-type: none"> HIV&AIDS, STI and TB Management 	Approved EHW policies							
	<ul style="list-style-type: none"> HPM 								
	<ul style="list-style-type: none"> Wellness Management 								
	<ul style="list-style-type: none"> SHERQ Management 								
<ul style="list-style-type: none"> Confidentiality code of conduct is maintained 	Signed Confidentiality Code of conduct								
SUB-TOTAL: (4 X 8 CRITERIA = 32)									

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

ELEMENT	CRITERIA	MEANS OF VERIFICATION	SCORE/AWARDS				COMMENTS	
			Y	N	1	2		3
3.6 OPERATIONAL CONTROLS AND MANAGEMENT OF EHW MANAGEMENT SYSTEM (continued)	3.6.1.1. <u>HIV&AIDS, STI and TB management:</u> i) Protect human rights of people living with HIV and TB in the workplace through the following;							
	<ul style="list-style-type: none"> Prevent and monitor human rights violation 	Quarterly and annual reports						
	<ul style="list-style-type: none"> Reduce HIV and TB discrimination in the workplace 							
	<ul style="list-style-type: none"> Reduce HIV and TB related stigma 	SOP on HIV & TB stigma mitigation						
	ii) Sustain health and wellness through the following;							
	<ul style="list-style-type: none"> Maintain optimal health and wellness for people with HIV , STIs and TB 	Quarterly report						
SUB-TOTAL: (4 X 4 CRITERIA = 16)								

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

ELEMENT	CRITERIA	MEANS OF VERIFICATION	SCORE/AWARDS						COMMENTS
			Y	N	1	2	3	4	
3.6 OPERATIONAL CONTROLS AND MANAGEMENT OF EHW MANAGEMENT SYSTEM (continued)	iii) Prevent new HIV, TB and STIs infections								
	• Maximized opportunities for testing and screening	Quarterly report							
	• Increased access to a package of sexual and reproductive health (SRH) services	Operational plan							
	• Reduced transmission of HIV from mother to child (PMTCT)	Quarterly Report							
	• Preventing TB infection and disease	Quarterly report							
	iv) Address social and structural factors								
	• Mainstreamed HIV&AIDS, STI and TB and its gender and rights based dimensions,	Operational plan							
	• Mitigate the impact of HIV and TB	EHW reports							
	• Reduce vulnerability of young people	Workplace Outreach & Campaign reports							
SUB-TOTAL: (4 X 7 CRITERIA = 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
3.6 OPERATIONAL CONTROLS AND MANAGEMENT OF EHW MANAGEMENT SYSTEM (continued)	v) Clearly documented Procedure and policies that includes operational criteria for:								
	• HIV Testing in the workplace	SOP for HCT							
	• Universal precautions and infection control	Infection control policy(where applicable)							
	• Compensation	Flow chart for prevention and management of HIV&AIDS and TB occupational exposure and disease transmission, including compensation for occupationally acquired HIV and TB							
	• Working hours and reasonable accommodation	Departmental guidelines on working hours for people affected and infected with TB and HIV							
	vi) Promotion of 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: (4 X 5 CRITERIA = 20)									
(TOTAL FOR HIV&AIDS, STI AND TB: 4 X 20 CRITERIA= 80)									

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

ELEMENT	CRITERIA	MEANS OF VERIFICATION	SCORE/AWARDS						COMMENTS
			Y	N	1	2	3	4	
3.6 OPERATIONAL CONTROLS AND MANAGEMENT OF EHW MANAGEMENT SYSTEM (continued)	3.6.1.2 <u>Health and Productivity Management (HPM):</u> i) Disease and chronic illness Management								
	<ul style="list-style-type: none"> All employees have access to treatment, care and support for chronic disease management 	EHW records							
	ii) Mental health management								
	<ul style="list-style-type: none"> Management of mental health illnesses in the Workplace 	EHW report							
	<ul style="list-style-type: none"> Reduce Mental Health. Stigma 	EHW Quarterly report							
SUB-TOTAL: (4 X 3 CRITERIA = 12)									

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

ELEMENT	CRITERIA	MEANS OF VERIFICATION	SCORE/AWARDS						COMMENTS
			Y	N	1	2	3	4	
3.6. OPERATIONAL CONTROLS AND MANAGEMENT OF EHW MANAGEMENT SYSTEM (continued)	iii) Management of incapacity due to ill-health and retirement								
	<ul style="list-style-type: none"> Absenteeism rate is monitored quarterly and feedback reports are provided to management 	HR report							
	<ul style="list-style-type: none"> Reduce Mental Health. Stigma 	HR report							
	iv) Health education and promotion								
	<ul style="list-style-type: none"> Distribute IEC material 	EHW report							
	<ul style="list-style-type: none"> Behavior change management 	EHW report							
SUB-TOTAL: (4 X 4 CRITERIA = 16)									
(TOTAL FOR HPM: 4 X 7 CRITERIA = 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	
3.6. OPERATIONAL CONTROLS AND MANAGEMENT OF EHW MANAGEMENT SYSTEM (continued)	3.6.1.3 Wellness Management:								
	i) Physical wellness								
	• Wellness Facilities for promotion of Physical Activities are available (E.g. gym)	EHW Report							
	• Recreational and sporting codes are available	EHW Report							
	• Workplace canteens are available	EHW report							
	• Tobacco Management programmes are available	EHW Report							
	ii) Psychosocial wellness								
	• Stress Management programmes are available	Quarterly Report							
	• Economic / Financial Stress Management programmes are available	EHW Report							
	• Alcohol and Drug Management Programmes are available	EHW Report							
• Counseling Services are available	Quarterly Report								
SUB-TOTAL: (4 X 8 CRITERIA= 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	
3.6. OPERATIONAL CONTROLS AND MANAGEMENT OF EHW MANAGEMENT SYSTEM (continued)	iii) Organizational wellness								
	• Programme for Management of Workplace Violence is available	EHW Report							
	• Change Management Programme is available(when there is a need)	EHW Report							
	• Strategy for dissemination of Wellness Information is available	Departmental Communication Strategy							
	iv) Work life balance								
	• Flexible policies that address work-life balance are in place.	Departmental Policies							
	• Child Care Facilities in the workplace are in place (Needs-based).	Departmental Report							
• Retirement programmes are implemented	EHW Report								
SUB-TOTAL: (4 X 6 CRITERIA = 24)									
(TOTAL FOR WELLNESS: 4 X 14 CRITERIA = 56)									

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

ELEMENT	CRITERIA	MEANS OF VERIFICATION	SCORE/AWARDS						COMMENTS
			Y	N	1	2	3	4	
3.6. OPERATIONAL CONTROLS AND MANAGEMENT OF EHW MANAGEMENT SYSTEM (continued)	3.6.1.4. <u>SHERQ management</u>								
	i) Occupational Health and Safety								
	Conduct Surveillance (e.g. health, environmental surveillance)	Surveillance report							
	<ul style="list-style-type: none"> Conduct Occupational Hygiene monitoring (AIQ, noise, biological, heat, cold chemicals, illumination) 	Occupational hygiene report							
	<ul style="list-style-type: none"> Hazard Identification Risk Assessment (HIRA) e.g. baseline, review, issue-base etc) 	HIRA report							
	<ul style="list-style-type: none"> Statutory Appointments 								
	✓ 16.2 Appointee	Letter of appointment signed by accounting officer and acceptance							
	✓ Health and Safety Representatives	Letter of appointment signed by accounting officer and acceptance							
	✓ Health and Safety Committee members	Letter of appointment signed by accounting officer and acceptance							
	✓ Designated Appointee for OHS person	Letters of appointment signed by accounting officer and acceptance							
✓ Roles for SHERQ Committee	TOR								
SUB-TOTAL: (4 X 8 CRITERIA= 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	
3.6. OPERATIONAL CONTROLS AND MANAGEMENT OF EHW MANAGEMENT SYSTEM (continued)	• Convene health and Safety committee meetings	Minutes of the meetings signed by the Accounting Officer							
	• Legal Compliance								
	✓ Section 37(2) Contract	Prove of section 37(2) agreement signed							
	✓ Competent Certificate (e.g lifts, boiler)	Safety Plans							
	✓ Registration certificate for Machinery installation/maintenance	competent certificate							
	✓ Asbestos inventory register	Register							
	ii) Environmental management								
	• Inspection of Work Design and Special Facilities	Inspection report							
	• Inspection of Building and offices	Inspection report							
	• Inspection of Lighting, Ventilation and Sanitation	Inspection report							
	• Waste safely disposed	SOP for waste disposal							
	• Good housekeeping maintained and practiced	SOP for house keeping							
SUB-TOTAL: (4 X 10 CRITERIA = 40)									

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

ELEMENT	CRITERIA	MEANS OF VERIFICATION	SCORE/AWARDS						COMMENTS
			Y	N	1	2	3	4	
3.6. OPERATIONAL CONTROLS AND MANAGEMENT OF EHW MANAGEMENT SYSTEM (continued)	iii) Risk Management								
	• Conduct ongoing Risk Assessment	Risk assessment Report							
	• Disaster Management plans developed, implemented and maintained	Disaster Management Report							
	• Emergency Preparedness Plan developed	Emergency preparedness drill report							
	iv) Quality management								
	• Availability of SHERQ Quality Standards (ISO 1400;ISO 9001 ; ISO 45001 ;SANS 16001 ;AMS 16001))	Documents on SHERQ Quality standards							
	• Compliance to all SHERQ standards	Monitoring report							
• Conduct Internal and external Audit	Audit Report								
SUB-TOTAL: (4 X 6 CRITERIA = 24)									
(TOTAL FOR SHERQ: 4 X 24 CRITERIA = 96)									
TOTAL (ELEMENT 3):									
HIGHEST SCORE 4 X 93 CRITERIA = 382 (maximum rating)									

4. EHW MANAGEMENT SYSTEM EVALUATION, CORRECTIVE AND PREVENTIVE ACTION

ELEMENT	CRITERIA	MEANS OF VERIFICATION	SCORE/AWARDS						COMMENTS
			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:								
	<ul style="list-style-type: none"> maintaining records on sickness and identifying root causes thereof 	Sick leave records							
	<ul style="list-style-type: none"> maintaining records on absence and identifying root causes thereof. 	Monthly & quarterly reports							
	<ul style="list-style-type: none"> tracking performance of key indicators 	EH&W Records							
	<ul style="list-style-type: none"> meeting of objectives and targets 	M&E Plan							
	4.1.2.Reports are forwarded to Senior management on:								
	<ul style="list-style-type: none"> HIV&AIDS, STI and TB Management 	M&E Reports							
	<ul style="list-style-type: none"> HPM 								
	<ul style="list-style-type: none"> Wellness Management 								
<ul style="list-style-type: none"> SHERQ Management 									
4.1.3. Senior Management takes action on the reported findings and recommendations and provides feedback	Senior Management Feedback Report								
SUB-TOTAL: (4 X 9 CRITERIA = 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	4.2.1. System established to identify non-conformances and incidents in the EHW Management system.	Corrective and Preventive Action Plan							
	INTENT: Prevent non-conformances of the EHW Management system requirements such as policy and standards	SOP on corrective actions							
4.3 EHW MANAGEMENT SYSTEM RECORDS	4.3.1. Procedures ensuring the identification, maintenance and disposal of EHW records available	SOP on Record Management							
	INTENT: To establish and maintain procedures for the identification, maintenance and distribution of EHW related records	Individual case files C/OID files Case registers Sample records							
SUB-TOTAL: (4 x 4 CRITERIA = 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: (4 X 3 CRITERIA = 12)									
TOTAL (ELEMENT 4):									
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 (ELEMENT 5):									
HIGHEST SCORE 4 x 7 CRITERIA = 28 (maximum rating)									

TABLE 3: RECORD OF ASSESSMENT SCORES PER ELEMENT

CATEGORY	ELEMENT	HIGHEST SCORE	YOUR SCORE	YOUR OVERALL AWARD
A	Commitment to EHW Management policies	68		
B	Planning of the EHW Management system	52		
C	Implementation and operation of the EHW Management system	372		
D	EHW Management system evaluation, corrective and preventive action	64		
E	EHW Management review	28		
TOTAL		584		

Formula for calculation:

- Your score is the total number of awards you allocated per element (i.e. 34)
- Highest score is the highest number of awards you can allocate per element (i.e. 68)
- Your overall award is (2), i.e. $\frac{34 \text{ (Your Score)} \times 4}{68 \text{ (Highest Score)}} = 2$

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	<p>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.</p>
2	<p>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.</p>
3	<p>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.</p>
4	<p>This score is assessed as a <u>high level</u> of readiness. Here, the department will be assessed to have an appropriate 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.</p>

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			