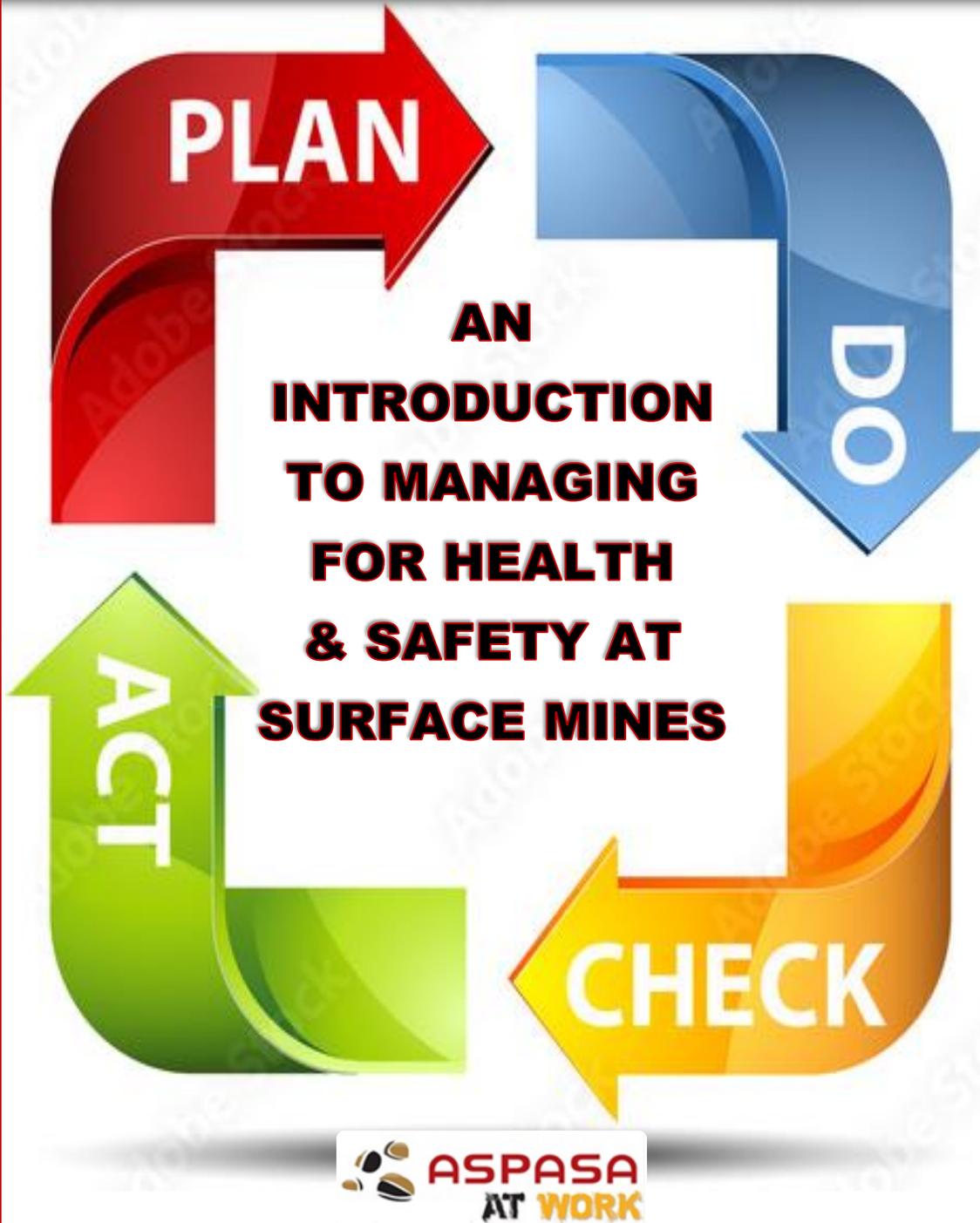




01 March 2022

BEST PRACTICES GUIDELINE:



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PLAN, DO, CHECK, ACT

An introduction to managing for health and safety at surface mines who are ASPASA Members.

INTRODUCTION

This leaflet is for those who need to put in place or oversee their companies' health and safety arrangements. The advice may also help workers and their representatives, as well as health and safety practitioners and training providers.

As **ASPASA** is a leader in the Health and Safety field in South African mining – we would like to share some guidance in this regard.

CORE ELEMENTS OF MANAGING FOR HEALTH AND SAFETY

Companies will have management processes or arrangements to deal with payroll, personnel issues, finance, and quality control – managing health and safety is no different. To help you comply with the law, **ASPASA** encourages a common-sense and practical approach to managing health and safety. It should be part of the everyday process of running an organization and an integral part of workplace behaviours and attitudes. What is often concerning is that when managers deal with discipline, there are many notes kept and records placed on file. When Health and Safety is not dealt with, we find that records and notes are not kept.

Whatever the size or nature of your organization, the core elements to effectively managing for health and safety are:

- Leadership and management
- A trained/skilled workforce
- An environment where people are trusted and involved



HSE advocates that all these elements, underpinned by an understanding of the profile of risks the organization creates or faces, are needed.

What does the law say?

You have a legal duty to put in place suitable arrangements to manage for health and safety.

The MHSA require employers to put in place arrangements to control health and safety risks.

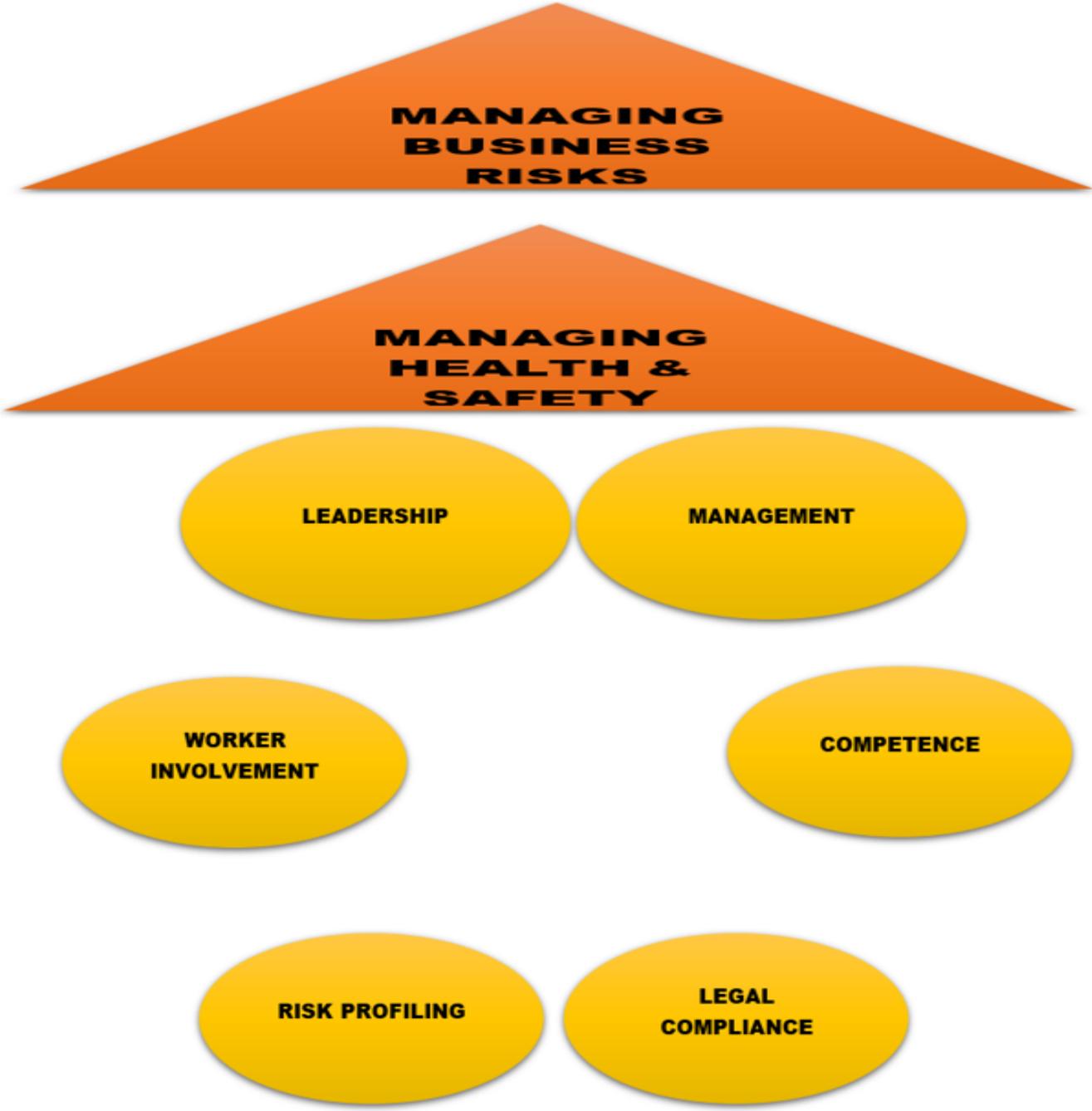
As a minimum, you should have the processes and procedures required to meet the legal requirements, including:

- A written health and safety policy (if you employ five or more people).
- Assessments of the risks to employees, contractors, customers, partners, and any other people who could be affected by your activities – and record the significant findings in writing (if you employ five or more people). Any risk assessment must be 'suitable and sufficient'.
- Arrangements for the effective planning, organization, control, monitoring and review of the preventative and protective measures that come from risk assessment.
- Access to competent health and safety advice.
- Providing employees with information about the risks in your workplace and how they are protected.
- Instruction and training for employees in how to deal with the risks.
- Ensuring there is adequate and appropriate supervision in place.
- Consulting with employees about their risks at work and current preventative and protective measures.



HEALTH & SAFETY
HEALTH & SAFETY

Figure 1: The core elements



So, are you doing what you need to do?

Leaders, owners, top management, and line managers need to consider if they are doing enough to manage for health and safety effectively. You need to answer fundamental questions such as:

- What are the strengths and weaknesses of your companies' health and safety performance, and are there any barriers to change?
- How reliable and sustainable for the future are the measures currently in place?
- If your company is getting risk control right, why is that? For example, does performance depend on one person's dedication and enthusiasm or is it a key value across the company?
- If there are problems, what are the underlying reasons, e.g. competence, resources, accountability, or lack of engagement with the workforce?
- Have you learned from situations where things have gone wrong?
- Always check the companies' culture – do instructions, are they properly presented and communicated?



Risk Profiling

Effective leaders and line managers know the risks their company's face, rank them in order of importance and take action to control them. The range of risks goes beyond health and safety risks to include quality, environmental and asset damage, but issues in one area could impact in another.

Leading and managing for health and safety

Leaders, at all levels, need to understand the range of health and safety risks in their part of the company and to give proportionate attention to each of them. This applies to the level of detail and effort put into assessing the risks, implementing controls, supervising, and monitoring.

Competence

Competence is the ability to undertake responsibilities and perform activities to a recognized standard on a regular basis. It combines practical and thinking skills, knowledge, and experience.

Worker consultation and involvement

At its most effective, full involvement of your workplace creates a culture where relationships between employers and employees are based on collaboration, trust and joint problem solving. Employees are involved in assessing workplace risks and the development and review of workplace health and safety policies in partnership with the employer. Managing health and safety can rarely be achieved by one-off interventions. A sustained and systematic approach is necessary.

While this may not always require a formal health and safety management system, whatever approach is used it probably contains the steps Plan, Do, Check, Act (see figures 2 and 3)

Plan, Do, Check, Act helps you achieve a balance between the systems and behavioural aspects of management. It also treats health and safety management as an integral part of good management generally, rather than as a stand-alone system.

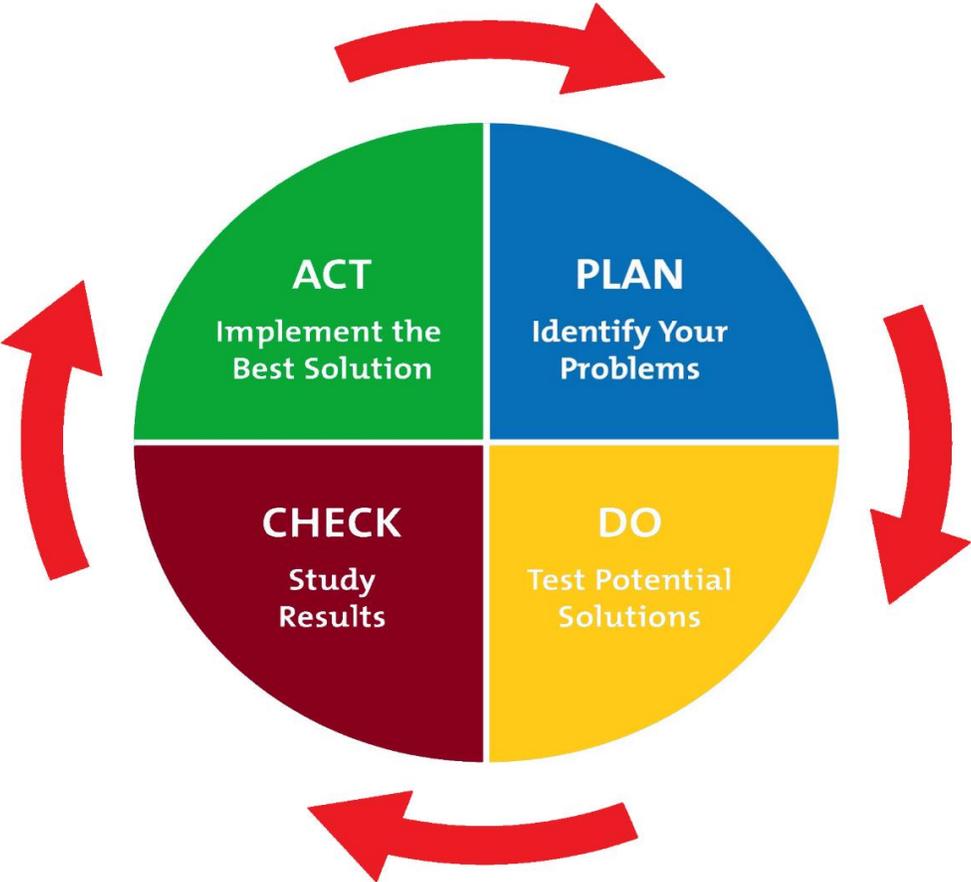
The high-level descriptions may vary, depending on the industry or sector you are working in, but this training note provides a summary of the actions involved in delivering effective arrangements.

Figure 2: The actions involved in delivering effective arrangements

Plan, Do, Check, Act	Conventional health and safety management	Process safety
PLAN	Determine your policy/Plan for implementation	Define and communicate acceptable performance and resources needed. Identify and assess risks/identify controls/Record and maintain process safety knowledge

DO	Profile risks/Organise for health and safety/Implement your plan	Implement and manage control measures
CHECK	Measure performance (monitor before events, investigate after events)	Measure and review performance/Learn from measurements and findings of investigations
ACT	Review performance/Act on lessons learned	

Figure 3: The Plan, Do, Check, Act approach



PLAN, DO, CHECK, ACT

Plan

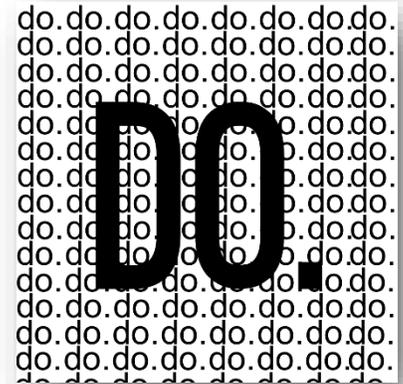
- Think about where you are now and where you need to be.
- Say what you want to achieve, who will be responsible for what, how you will achieve your aims, and how you will measure your success. You may need to write down this policy and your plan to deliver it.
- Decide how you will measure performance. Think about ways to do this that go beyond looking at accident figures; look for active indicators as well as reactive indicators.
- Consider fire and other emergencies. Co-operate with anyone who share your workplace and co-ordinate plans with them.
- Remember to plan for changes and identify any specific legal requirements that apply to you.

Do

- **Identify your risk profile**
 - Assess the risks, identify what could cause harm in the workplace, who it could harm and how, and what you will do to manage the risk.
 - Decide what the priorities are and identify the biggest risk.
- **Organize your activities to deliver your plan**

Aim to:

 - Involve workers and communicate, so that everyone is clear on what is needed and can discuss issues – develop positive attitudes and behaviours.
 - Provide adequate resources, including competent advice where needed.
- **Implement you plan**
 - Decide on the preventative and protective measures needed and put them in place.
 - Provide the right tools and equipment to do the job and keep them maintained.
 - Train and instruct, to ensure everyone is competent to carry out their work.
 - Supervise to make sure that arrangements are followed.



Check

- **Measure your performance**

- Make sure that your plan has been implemented – ‘paperwork’ on its own is not a good performance measure.
- Assess how well the risks are being controlled and if you are achieving your aims. In some circumstances formal audits may be useful.

- **Investigate the causes of accidents, incidents or near misses**

Act

- **Review your performance**

- Learn from accidents and incidents, ill-health data, errors, and relevant experience, including from other organizations.
- Revisit plans, policy documents and risk assessments to see if they need updating.

- **Act on lessons learned, including from audit and inspection reports**

You may need to go round the cycle more than once, particularly when:

- Starting out
- Developing a new process, product, or service
- Implementing any change



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