



Annex to HSC/03/30
DRAFT

The Management Standards Piloteers' Pack



Please Note:

This information pack has been prepared for the pilot of the draft Management Standards for tackling Work-related Stress.

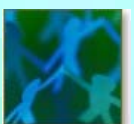
The content of the pack is developmental and does not represent a fully validated methodology or finalised process. However, HSE is content for the information herein to be used and for any feedback or comments to be provided towards the further development of the Stress Priority Programme via the feedback sheet available on the HSE website at

www.hse.gov.uk/stress

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STAGE TWO

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- Dos and Don'ts
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* The Best Practice Network will include a Bulletin Board open to piloteers for submission. It is our intention that other website users will be able to follow discussion chains, subject to the right of authors to anonymity and security arrangements. This is currently under development.

** The Helpline is available only to pilot organisations for the duration of the pilot exercise. Other organisations may wish to contact HSE's Infoline on 08701 545 500.

*** The Interventions Source Book is currently under development.

**** Other help is available to piloteers only.

Each of the subheadings is designed to link to the relevant information which is stored on the HSE website. Where links are currently inactive we will update the internet version of this pack as they become available. HSE will e-mail details of any updates to piloteers via a monthly newsletter. Any other organisations should check the Management Standards homepage regularly to ensure they have the most up-to-date information available.



HSC/E EXPECTATIONS

DRAFT MANAGEMENT STANDARDS ON WORK-RELATED STRESS

The Health and Safety Executive (HSE) is working with partners to develop standards of good management practice which will provide a yardstick against which employers can gauge their performance in tackling a range of key stressors. A group of partners agreed to pilot the revised draft standards within their organisations.

[The Standards](#)

HSE also developed an approach or methodology which organisations can use to assess whether the standard has been achieved or if further action is required.

WHAT HSE WOULD LIKE YOU TO DO

HSE would like you to test out the use of:

- the management standards within (a section of) your organisation.
- the HSE methodology to assess whether the standard has been achieved in your organisation or if further action is required. You can also use your own methodology and it may be worth examining the [feedback](#) form to check the range of information we would like.

When you have tested out the standards in this way, HSC/E would like you:

- to provide [feedback](#) to HSE and partners on how practical you found the management standards to be
- to provide comments on the ease of use of the standards and the methodology. In particular, did the standards and supporting processes help you to:
 - identify the problem areas
 - start a dialogue with employees and their representatives
 - set realistic, time-bound actions

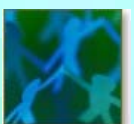
INTEGRATION OF MANAGEMENT STANDARDS INTO EXISTING POLICIES AND PRACTICES

When the management standards go 'live' we envisage that they will be integrated into the organisation's existing health and safety or human resources arrangements.

For the purposes of the pilot, organisations may wish to consider running the exercise in parallel with an existing health and safety or HR initiative, or consider how well the process would integrate into existing arrangements. We want to know if the approach we are suggesting fits in.

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THE GUIDELINES

HSE has developed these guidelines to provide managers within organisations with:

- an explanation of the purpose and rationale behind the pilot exercise;
- an explanation of the rationale behind the management standards for work-related stress;
- a detailed description of an approach which organisations can use to assess how well they are achieving the standards;
- guidance on how to use the approach and management standards;
- what to do if you want to use your own 'in house' methodology to test the use of the management standards;

SOME KEY STAKEHOLDERS

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THE PILOT PROCESS

The pilot process will involve you in the following activities:

STAGE 1

Preparation

- **gaining management commitment**
- **raising employee awareness**
- **selecting the pilot group**

First pass

- **defining the current state of the organisation against the management standards**
- **feeding back results to staff and others**

STAGE 2

Second pass

- **defining any problem areas in more detail**

Staff consultation

- **consulting with employees to confirm the nature of the problem(s) and agree action required**

Taking action

- **interventions**

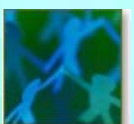
Review

- **reviewing results**
- **dealing with individual issues**

The guide will now take you through each step of the process.

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GAINING ORGANISATIONAL COMMITMENT

The draft Management Standards have been developed between HSE, the piloting organisations and other stakeholders. For the pilot of the management standards to work effectively it will be important:

- that you gain commitment from management, particularly from top management
- that you gain commitment from line managers, employees and safety representatives.

GAINING MANAGEMENT COMMITMENT

For some pilot organisations, top management commitment will already be in place. Others, who may need to make a case for piloting the standards within their organisations may find it useful to consider the questions:

- why should organisations should take action on work-related stress?
- why are organisations likely to benefit from involvement in the pilot exercise?

Why should organisations take action on work-related stress?

In broad terms, tackling work-related stress is likely to make an impact on the health (psychological, physical, financial) of your organisation.

HSE's guidance to managers [Tackling work-related stress](#) (HSG218) highlights three broad reasons why employers should take action to tackle work-related stress - ethical, legal and economic. These are strong arguments which should help you convince your board to take action.

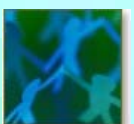
Some further ideas for developing a [Business Case](#) for tackling Work-related Stress can be found on the HSE website. You may wish to make use of this material to develop your own arguments. It is important to realise that each organisation is unique and that you are in the best position to judge what will work.

To help understand the financial benefits of preventing Work-related Stress, HSE has developed the [Stress Savings Calculator](#). This is an Excel programme which can be downloaded from the HSE website.

Why are organisations likely to benefit from involvement in the pilot of the draft management standards?

In addition to the health and business improvement reasons for taking action on work-related stress, there are particular benefits to be gained by organisations from involvement in the pilots.

- organisations can influence the thinking and the direction of development in Management Standards for work-related stress
- Early involvement can demonstrate an organisation's commitment to their staff and their determination to take preventative action on work-related stress, supported by the best available evidence linking work design to ill health outcomes.



GAINING COMMITMENT OF OTHER STAKEHOLDERS IN THE ORGANISATION

Work-related stress will be an issue of concern to a wide range of stakeholders in your organisation. For this pilot of the Standards to work effectively it is important that you involve them at the beginning and gain their commitment.

Have You Successfully Engaged...

- 
- Employees
 - Senior Management
 - Health & Safety Representatives
 - Trade Unions
 - Staff Associations
 - Occupational Health Teams

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www.hse.gov.uk/stress

www.osha.eu.net

Perhaps some piloteers' websites who are willing.



RAISING EMPLOYEE AWARENESS

The way you choose to do this will vary according to your individual local arrangements and agreed practices. The HSE website contains a [sample leaflet](#) which can be adapted if required to help you with the process of the getting employees onside.

One way to raise employee awareness would be to recruit the active involvement of employee representatives (Trade Union, Staff Association and Health and Safety representatives) at the beginning of the process. Management and employee representatives can then issue briefing notes or a joint briefing note to employees.

You can also increase awareness and commitment by involving staff and their representatives in any groups you set up to help organise the pilot process.

Where you decide to confine the pilot to a limited section of your organisation, you should consider how best to inform other staff. Experience suggests that organisational interventions involving one group of staff can have a negative impact on those staff not involved if they are not kept informed about what is happening and why.



Working In Partnership

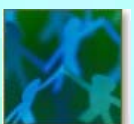
Open Honest Communication

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www.hse.gov.uk/stress
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Perhaps some piloteers'
websites who are willing.



HOW TO RUN A PILOT

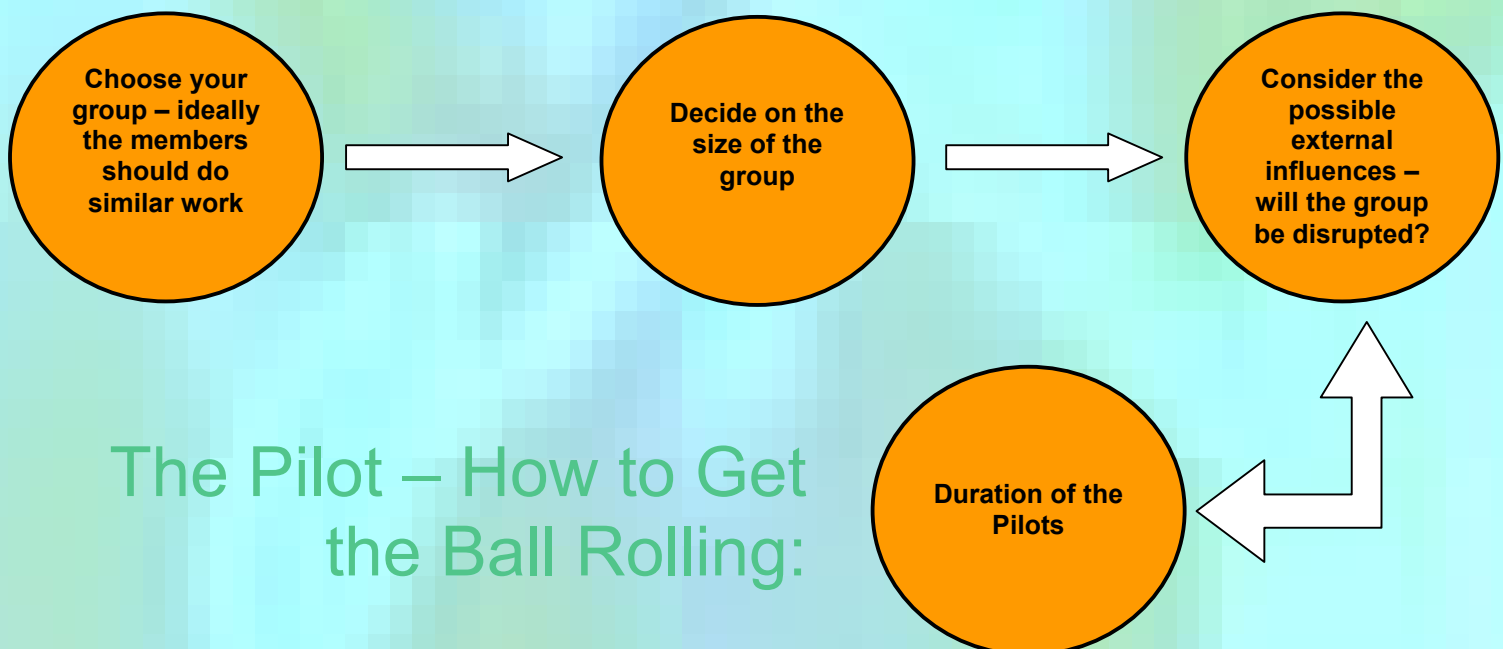
Who and what to study?

You will need to decide which groups within your organisation you wish to test the pilot standards with. You may have already thought about this or candidate groups may obviously present themselves, but here are some of the key issues to think about:

- Composition of Group
- Size of Group
- External Influences
- Duration

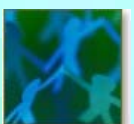
HSE has developed some [guidance](#) in these areas which is available via the HSE website.

If you have any issues you wish to discuss you may wish to use the Stress Partners' Bulletin Board or alternatively contact the HSE Helpline.



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EMPLOYEE ENGAGEMENT

The role of the employee in tackling work-related stress is crucial. Studies of the success of other health and safety initiatives have shown that the highest success rate is amongst those companies who actively involve their staff in the whole process: from initial introduction through to taking responsibility for actions to reporting back to management and planning the next cycle.

Once the decision has been taken that the company will participate in the pilot, inform the employees of this and explain what the organisation is trying to achieve. This message is best coming from the most senior person possible to demonstrate their personal commitment. This should encourage employees and managers to take the pilot more seriously.

Employees may also feel more engaged if they know the pilot will be the responsibility of a working group which will include employee representatives as well as representatives from management, health and safety, trade unions and human resources.

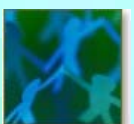
To ensure those employees who are not directly involved in the pilot do not feel excluded, and those who are involved do not feel victimised, everybody should understand the selection criteria. They should also understand that management is committed to repeating the process regularly, and they may participate in future assessments. A mechanism for those employees not directly involved to ask questions and air their views would encourage the whole workforce to engage in the pilot.

Everybody should receive regular updates about the progress of the project in order to demonstrate continuing commitment and hopefully maintain interest. This could be done via specific meetings or presentations, or it could be done via normal channels of communications such as internal email messages, articles in newsletters, posters on notice boards or routine team meetings. Communicating via normal channels emphasises that stress management is going to become a fundamental management practice rather than a one-off audit.

[Engaging Line Managers and Safety Representatives](#)

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THE MANAGEMENT STANDARDS

The [Management Standards](#) cover the main risk factors for work-related stress:

- Demands
- Control
- Support
- Relationships
- Role
- Change

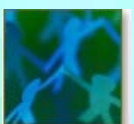
The standards have been designed to capture the key elements of each risk factor or stressor and to translate these into measurable and observable organisational practices. Where the standards are reached, the management of stressors in an organisation will be acceptable.

FOCUS ON THE CONCERNS OF THE MAJORITY OF EMPLOYEES

The Management Standards are designed to assist organisations in focusing attention on the apparent concerns of the majority of employees in organisations and on the root causes of the stressors to which the majority (or a large number) may be exposed. In this way we hope that interventions that organisations make to address these concerns and to tackle these stressors will have the maximum impact on the workforce as a whole. While the main focus is on the concerns of the majority, there is also a requirement to address the concerns of individuals and small groups – further guidance is contained towards the end of this document.

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RESOURCE IMPLICATIONS

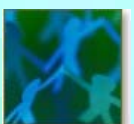
To encourage the development of a positive culture, senior management must be committed to the allocation of sufficient resources (number of people, time, money etc) for the stress management standards to be piloted properly. They must communicate this to line managers and, if necessary, assist line managers to ensure sufficient resources are available. This is particularly the case for those staff who maybe participating in a working group, as they will have the main responsibility for co-ordinating delivery.

Some of the key tasks are listed below (the list is a prompt rather than exhaustive):

- Gaining management commitment (working group)
- Gathering existing data such as sickness/absence data, turnover, exit interviews (working group, human resources department, occupational health department)
- Identification and notification of sample (working group)
- Distribution of the first pass filter tool (working group)
- Completion of the first pass filter tool (participants)
- Data entry and analysis (working group)
- Presentation of the feedback (working group, participants, managers and other stakeholders)
- Distribution of the second pass filter tool (working group)
- Data entry and analysis of second pass filter tool (working group)
- Focus groups to discuss results of second pass filter tool and possible interventions (facilitator, participants, possibly managers and other stakeholders)
- Presentation of results of second pass filter and focus group discussions (working group, participants, managers and other stakeholders)
- Actions arising from the feedback (the individuals with responsibility for discharging the actions and anybody else this may involve)
- Auditing the outcomes of the actions are successful (working group)

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DEFINING THE STATE

We would like you to begin the pilot of the Management Standards by using the Standards to assist you in **defining the current state** of your organisation (or section of it) in terms of managing the risks related to work-related stress.

METHODOLOGY

To help you do this, HSE has developed a methodology. We would like you to test out this methodology for assessing whether the standard has been achieved. However, we want the process to be as flexible as possible and we recognise that some organisations may wish to use their own 'in house' methodology and existing procedures to test out the use of the Management Standards.

If you opt to use your own methodology

If, after consideration of HSE's suggested approach, you decide to opt for your own 'in house' approach, would you please contact the HSE Helpline on 0151 951 4981 to discuss.

THE HSE METHODOLOGY

HSE's methodology consists of 'first pass' and 'second pass' filter tools and supporting materials. The filter tools are directly related to the Management Standards and the questions in the filters are based on the best available evidence linking (poor) work design to ill-health outcomes.

If you are using the HSE methodology

We would like you begin with the [First Pass Filter Tool](#).

THE FIRST PASS FILTER TOOL

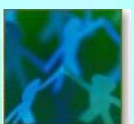
The First Pass Filter Tool consists of six simple one-line questions, one for each of the key stressors (demands, control, support, relationships, role and change). It has been designed to give organisations a rough indication of how well their workforce considers they are performing in managing the risks related to work-related stress, and an indication of where any problem areas might be.

WHAT WE WILL GIVE YOU

HSE will provide all pilot organisations with a copy of a CD or disk which includes:

- copies of the [First Pass Filter Tool](#): in the form of a Word document which can be printed off (for paper copies please contact the HSE Helpline on 0151 951 4981);
- a [First Pass Filter Analysis Tool](#) (a customised Excel spreadsheet);
- [instructions](#) on the use of the tool and how to analyse the results;
- further information on the tool;
- [Technical Assistance](#) – via the Website.

These items will also be available via the Tools page on the HSE Website



WHAT WE WANT YOU TO DO

We would like you:

- to issue copies of the First Pass Filter Tool to all employees in the part / parts of the organisation where you have decided to conduct the pilot
- to use the Analysis Tool to analyse the results and determine which, if any stressor areas require further investigation
- to take appropriate action dependent on the outcome of the analysis

See page in current guide **Taking Action after the First Pass Filter**

Preventing Work-related Stress - Pilot Pack
First Pass Filter Questionnaire

Demands
I am able to cope with the demands of my job Always Often Sometimes Rarely Never

Control
I am able to have a say over the way I do my work Always Often Sometimes Rarely Never

Support
I believe that I receive adequate support and information from my colleagues and superiors Always Often Sometimes Rarely Never

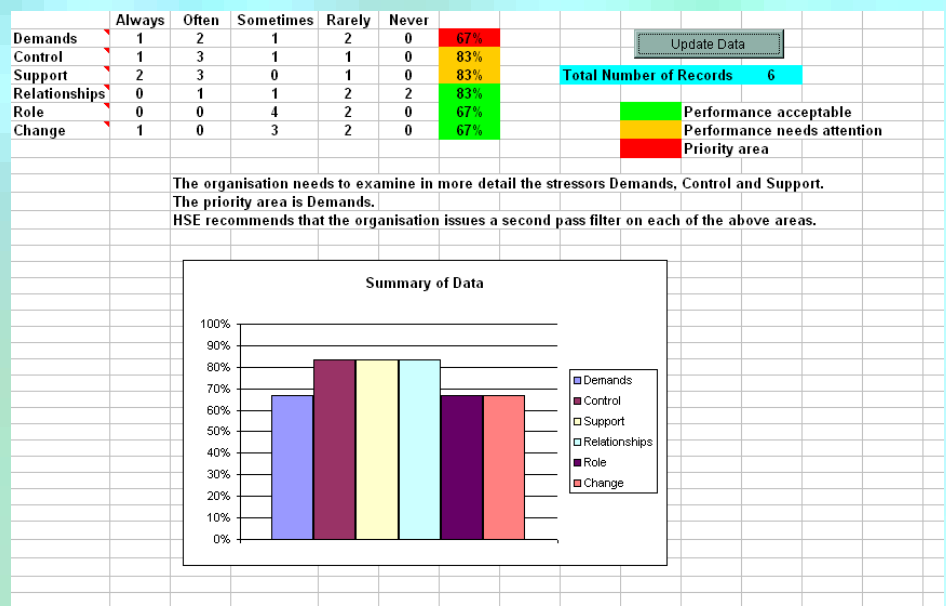
Relationships
I am subjected to unacceptable behaviours (e.g. bullying) at work Always Often Sometimes Rarely Never

Role
I understand my role and responsibilities Always Often Sometimes Rarely Never

Change
The organisation engages staff frequently when undertaking organisational changes Always Often Sometimes Rarely Never

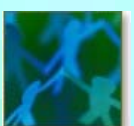
Questions

Indicators



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REVIEWING RESULTS

TAKING ACTION AFTER THE FIRST PASS FILTER

The action you take next will depend on the outcome of the analysis of the first pass filter tool (or equivalent procedure for those using an 'in house' approach).

The CD/Disk gives an example of the type of results the data collected in your organisation might produce.

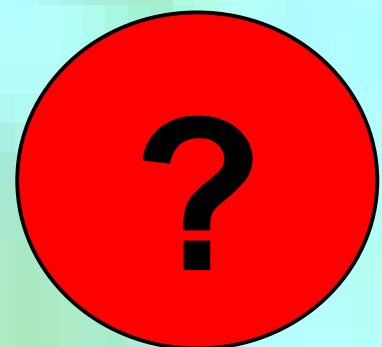
The results of the first pass filter tool might indicate that your organisation is currently achieving one or more of the standards.

The first pass filter tool may also indicate that although the majority feel a standard has been reached, a significant number feel that it has not. This requires further investigation and we suggest you use the second pass filter tool to identify what elements of the standard are causing stress.

Finally, the results of the first pass tool may indicate that the majority of participants feel the organisation is not achieving a standard. This also requires further investigation, again we suggest you use the [second pass filter tool](#) to do this. Investigation of these sources of stress should have higher priority over those for which only a significant number feel that the standard has not been achieved.

The results of the first pass filter should be fed back to all the employees in your organisation and suggestions how to do this are available in ['How to give feedback'](#) on the Website.

Are You...



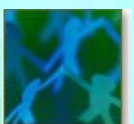
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www.hse.gov.uk/stress

www.osha.eu.net

Perhaps some piloteers' websites who are willing.



DEFINING THE PROBLEM AREA

The results of the analysis of the First Pass Filter Tool, or your own 'in-house' equivalent, may suggest that there are some areas where your organisation has not met the standard. For example, you may fail to meet the standard for the stressors 'Control' and 'Support'. In this case, HSE would recommend that you explore these areas in more depth to define the problem.

METHODOLOGY

HSE has developed a methodology to help you to do this. If possible, we would like you to test out this methodology, however, we recognise that some organisations may wish to use their own 'in house' methodology and existing procedures to define the problem areas or explore them in depth.

If you opt to use your own methodology

As with the First Pass Filter, if you decide to opt for your own 'in house' approach, please contact the HSE Helpline on 0151 951 4981 to discuss.

If you are using the HSE methodology

We would like you issue Second Pass Filter Tools for each of the stressor areas in which your organisation failed to meet the standard.

THE SECOND PASS FILTER TOOLS

There is a Second Pass Filter Tool for each of the key stressors (demands, control, support, relationships, role and change). Each is brief and has been designed to give organisations an indication of which aspect of the particular stressor may require discussion.

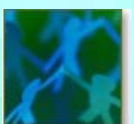
WHAT WE WILL GIVE YOU

HSE will provide all pilot organisations with a copy of a CD that includes:

- copies of the Second Pass Filter Tools for each of the 6 stressors: in the form of Word documents which can be printed off (for paper copies please contact the HSE Helpline on 0151 951 4981);
- a Second Pass Filter Analysis Tool for each of the 6 stress risk factors (customised Excel spreadsheets);
- instructions on the use of the tools and how to analyse the results;
- further information on the tools;
- Technical Assistance – via the Website.

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WHAT WE WANT YOU TO DO

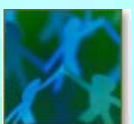
We would like you to:

- identify, from the first pass filter (or your own methods), those stressors which appear to require further investigation (those falling in the Red or Amber zones). To help illustrate, we will assume your organisation has scored in the Red zone for the stressors on Change and Support;
- in this example, the organisation would then issue the Second Pass Filter Tools on Change and Support to all employees in the part / parts of the organisation where the pilot is being conducted;
- on retrieving the results, we would then expect the organisation to use the Analysis Tools (Excel templates on CD) to analyse the results for each of the Second Pass Filter Tools and determine which aspects of each stressor has been identified as the likely source of any problems;
- confirm the nature of any problems by entering into a dialogue with employees.

See page in current guide **Consulting with employees to confirm the nature of any problems.**

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CONFIRMING THE NATURE OF THE PROBLEM – CONSULTING EMPLOYEES

We suggest that you consider the use of the HSE methodology and Filter Tools (or 'in house' equivalents) as the first part of the process of assessing the risks related to work-related stress.

CONSULTING WITH EMPLOYEES

Where you have used the Filter Tools to highlighted an area or areas which appear to be a source of stress for a significant number of your employees, we suggest that the next step is to consult with your employees.

WHAT WE WANT YOU TO DO

We would encourage you to continue to make use of local arrangements for encouraging participation and consulting with employees and their representatives.

FOCUS GROUPS

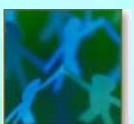
In addition, as part of the pilot process, we would like you to consider running a series of focus groups to allow employees the opportunity to:

- confirm or challenge the nature of the problems identified by the Filter Tools;
- explore the issues further and define them in more detail;
- help raise locally relevant issues and suggest targeted actions.

Further information on running focus groups is contained in [How to Organise and Run Focus Groups](#) on the Website.

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INTERVENTIONS

WHAT TO DO NEXT

Developing an effective interventions strategy is likely to depend on the type of problem(s) identified. It is likely that your interventions (linked to your action plans) will comprise of a blend of 'quick fixes' and longer-term solutions.

Employees often have a very good understanding about what is causing them stress at work and what the organisation could do to help in the short, medium and long-term. Therefore, a good starting point in determining which intervention should be used is to encourage members of the focus group to propose potential solutions and realistic timescales.

It is possible that some issues raised by focus groups cannot be completely 'closed out' because of the nature of the environment the organisation works in. If this is the case, it is important to report the reason why extensive changes to working practices cannot be made without losing a competitive edge and so, potentially, creating additional stressors – employees are more likely to understand why work is organised the way it is if the rationale is clearly explained. Added to which, any employee suggestions for change are likely to be more tailored to business realities.

In setting your intervention it is key to bear in mind and manage employee expectations. For the pilot exercise, it is likely to be more productive to set realistic interventions that can be achieved in the short to medium term than trying to change ingrained aspects of organisational culture.

Finally, it is important to bear in mind that, even if the way the work is organised cannot be significantly altered, the organisation can still intervene by offering simple, positive, solutions, such as providing practical support and acknowledging the challenges faced by employees.

In addition to gaining focus group suggestions, organisations are likely to require more specific guidance on the types of interventions that can impact upon the six stressors we have mentioned. HSE is currently working to develop these guides.

In the meantime, general principles of good practice can be found below and in Tackling Work-related Stress (HSG218, enclosed). You can use these to prompt discussion or to see whether they would help to alleviate any concerns that have been raised.

Dos and Don'ts

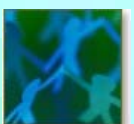
Case Studies

Bulletin Board

Source Book

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REVIEWING RESULTS

It is essential that you review whether the interventions introduced as a result of the focus groups or other consultation with employees are actually being effective in reducing the sources of stress they are intended to. The results of your review should be fed back to all members of your organisation.

When you conduct your review will depend on how long it will take to implement the intervention – this could range from the immediate implementation of a simple intervention to the design and trialling of a much more complicated intervention - and also how long the focus group judges the intervention will take to have any impact – again, benefit could be felt within days or may take months.

How you conduct your review will depend on the intervention. You may have to check that certain records are being kept, or meetings are being held, or there is evidence certain activities have been undertaken. Or, it could be seeking the views of those involved to see if they feel the interventions are having the desired effect. You may decide you only need to speak to a sample of those involved or you may feel it is important to ensure that the intervention is working for everybody.

You should also be bearing in mind whether there are any changes in the organisation that may introduce new stressors. If these are significant changes, you should consider distributing the first pass filter tool again to highlight any emerging stressors quickly.

If there are not significant changes and no significant problems become apparent, you should consider distributing the first pass filter tool on an annual basis. This would be in addition to any arrangements that have been established to talk about stress-related issues on a regular basis.

[How to Review](#)

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SMALL GROUP/INDIVIDUAL ISSUES (Emergency Pack)

The First and Second Pass Filter Tools are intended to highlight sources of stress for the majority of employees within the organisation and the interventions will be aimed at how to reduce these sources of stress (for the majority of people).

However, the processes involved in the pilot may highlight to small groups or individuals that they are experiencing stressors that the majority of other groups or individuals are not, and the interventions (aimed at the majority) may not address the sources of stress for these small groups or individuals. It is therefore essential for your company to recognise a number of ways that would enable employees to raise their concerns. These could include:

- creating an environment where employees are encouraged to consult their line manager or a person in their line management chain;
- consulting a trade union representative, a health and safety representative, a member of human resources, or member of the occupational health team if the company has one;
- gaining access to advice from occupational health advisors at General Practitioners' surgeries; or
- consulting an employee assistance counsellor.

Dealing with individual issues

If you would like further information on any of the above please, contact the HSE Helpline on 0151 951 4981.

HELP

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