

Section 18 Standard Toolkits

Make it happen...

Information Systems Toolkit

The Section 18 Standard requires every Enforcement Authority (EA) to have Information Systems that:

- have the ability to record accurate information in order to support the prioritisation of interventions;
- monitor and review progress towards local, regional and national policies, priorities, targets and plans;
- monitor their activity, including the type of interventions, complaints, enforcement and other performance indicators;
- inform policy and direct operational activity;
- collate and analyse current data;
- manage and record information for regular statistical returns;
- secure the benefits from the compatibility of data collection and data management systems with other regulators or between other regulators;
- access information and upload information to the HELA Extranet, Internet, HSE Website, e-mail correspondence etc;
- share data with other organisations and within their own organisation to minimise information requests to businesses;
- involve businesses, where appropriate, in vetting data requirements and form design.

Basic requirements

To meet the Standard every EA should:

- **record accurate information:**
 - Have the appropriate information system/s in place to contribute to improving health and safety (H&S) outcomes.
 - Train relevant staff on use of system/s so that they can be fully utilised.
 - Ensure any updated training on systems or procedures is provided to all relevant staff.
 - Ensure there is sufficient capacity to operate the system efficiently and effectively.
 - Each EA should also have an effective management system (see [Management Infrastructure Toolkit](#)) and performance management system that is operated efficiently and effectively (see [Capacity Toolkit](#)).
- **monitor and review progress:**
 - Have systems that enable them to monitor and review progress through liaison with senior managers, county groups, partnership teams, FOD/LA newsletters, Local Authority Unit and local risk-based initiatives, eg Greater Manchester Violence at Work Project, North Wales Aerial Installation Project, Science & Technology Initiatives, departmental meetings (FOD) and team meetings (LA).
- **record accurate information about premises in order to support the prioritisation of interventions:**

- Operate systems to record and monitor accurate data collection.
 - Monitor their activity, including type of interventions, complaints, enforcement and other performance indicators.
- **inform policy and direct operational activity:**
 - Ensure systems are current, eg:
 - Priority Planning – each EA should have appropriate information systems to facilitate priority planning;
 - Incident Selection Criteria – each EA should have appropriate capacity to train staff, have a sufficient management infrastructure and appropriate resources, and have a management infrastructure in place to facilitate incident selection criteria (see [Capacity and Management Infrastructure Toolkits](#));
 - Research current advice/guidance/trends – internet access.
- **manage and record information for regular statistical returns:**
 - Each EA must keep the premises records database (including assessments of the hazard and risk of the activities taking place) up to date and accurate in order to support the prioritisation of interventions. This is important for historical information if the information is outgrowing the database capability and there is the chance that this information may be lost.
 - The EA must have systems capable of providing easy storage and analysis of regulatory intelligence gathered, including completion of LAE1 and CIPFA1 returns.
- **secure the benefits from the compatibility of data collection and data management systems:**
 - Through sensible procurement from the database supplier, EAs should be able to record accurate information about premises in order to support the prioritisation of interventions. It is important that any information collected can be usefully interpreted and is relevant and able to be accessed at a later date.
- **Internet access and e-mail communication:**
 - Each EA should ensure the relevant staff are made aware of, have access to and are trained in the use of the HELA Extranet (eg Lead Authority Partnership Scheme), HSE Website, LACoRS Website, Local Better Regulation Office (eg Primary Authority Scheme) and any relevant information contained within all internet sources.
 - All staff should have the ability to upload and download information and knowledge of how to gain information and get advice for HELA Extranet support, HSE and LACoRS Websites.
- **share data with other organisations and within their EA to minimise information requests to businesses:**
 - Sharing data with other organisations such as Inland Revenue, Fire Service etc and within their own organisation, eg Trading Standards and National Non-Domestic Rates to minimise information requests to businesses.

- The Information Commissioner (www.ico.gov.uk) has published specific guidance for LAs on 'Data sharing between different local authority departments', 'The use and disclosure of information about business people' and a 'Letter on data sharing from the Information Commissioner'.
 - It is important that the EA is fully compliant with the Data Protection Act 1998 and the Freedom of Information Act 2000.
 - To help address concerns of how to keep an up-to-date premises database, LACoRS is promoting the sharing of data between council departments as good practice among local authorities, eg receiving business information from the National Non-Domestic Rates database and referring to food business registration forms.
 - The EA may need to have Memorandums of Understanding or protocols in place to carry out their enforcement activities, eg a thorough understanding of the work-related death protocol. LAs, through LACoRS, should have Memorandums of Understanding which can be agreed and drawn up centrally.
- **involve businesses in vetting data requirements and form design:**
 - When sharing data between departments, each EA should have a system in place to review and update data and data input and retrieval procedures. This should place a minimal burden between different departments within the EA and the businesses within their Authority. The Local Better Regulation Office (LBRO) and Department for Business, Enterprise and Regulatory Reform (BERR) place a duty on EAs to minimise the burden on businesses. This can be achieved through sharing best practice on the HELA Extranet through, for example, inspector knowledge and area surveys.

Benefits of effective information systems

- Maximise impact on national, regional and local priorities.
- Assurance and ability to quickly adapt to new agendas and priorities.
- Efficient handling of statistical returns and information requests.
- Efficient and effective communications internally and with other EAs.

Key points

- Good information systems should be well maintained and appropriate to use.
- Each EA should have appropriate staff expertise and knowledge to fully utilise system requirements.
- Each EA should have the ability to retain key corporate knowledge of key policy and enforcement decisions, points of regulatory interest, points of interest to politicians, senior managers etc that are of public or political interest to maintain the EA's reputation, eg gravestones.
- Sharing data with other organisations such as Inland Revenue, Fire Service etc and within their own organisation, including Trading Standards, National Non-Domestic Rates, to minimise information requests to businesses in accordance with the Information Commissioner.
- Ensure when purchasing an information system S18 Standard and basic requirements are included in purchasing policy.

Further sources of information

Partnerships Management Teams, County Groups, Ehcnet messages, CIEH branches, REHIS branches

Examples of Information Systems

<http://www.hse.gov.uk/section18/toolkits/information-systems-example.doc>

LACoRS

<http://www.lacors.gov.uk>

Information Commissioner
<http://www.ico.gov.uk>

Section 18 toolkits – Capacity, Management Infrastructure and Partnership
<http://www.hse.gov.uk/section18/index.htm>

Lead Authority Partnership Schemes – Extranet
<https://extranet.hse.gov.uk/C4/Lead%20Authority%20Partnership%20Sch/default.aspx>

Department for Business, Enterprise and Regulatory Reform (BERR)
<http://www.berr.gov.uk/>

Local Better Regulation Office (LBRO)
<http://www.lbro.org.uk>

Federation of Small Businesses
<http://www.fsb.org.uk>

Information Systems

Are you compliant with S18's Information Systems requirements?

To answer "yes" you should be able to demonstrate that your EA:

- **has the ability to record accurate information in order to support the prioritisation of interventions:**
 - Are relevant staff fully trained to support the system?
 - Do staff receive refresher training when systems are updated/changed?
 - Is there enough capacity to operate the system efficiently and effectively?
 - Is there an appropriate system to facilitate the required S18 Standard for (i) management infrastructure and (ii) performance management system (capacity) criteria?

- **has the ability to review progress towards local, regional and national policies, priorities, targets and plans:**
 - Is there a system in place to monitor and review progress towards local, regional, national targets and plans through liaison with appropriate partners and local risk-based initiatives?

- **has the ability to record accurate information about premises in order to support the prioritisation of interventions:**
 - Does the system enable effective monitoring of specific interventions including inspections, investigations, complaints, enforcement and other performance indicators?
 - Does the system include breakdowns against individual premises?

- **has a current system that is capable of informing policy and direct operational activity:**
 - Is there an appropriate system in place to record key policy and enforcement activity?
 - Is there an appropriate system to facilitate the required S18 Standard for (i) priority planning and (ii) incident selection criteria?
 - Do your staff have access to the Internet, LBRO, LACoRS and HSE Websites and the Extranet for current advice, guidance, sharing of best practice?

- **has a system to manage and record information for regular statistical returns to facilitate the easy storage and analysis of information to facilitate regulatory intelligence gathering, including completion of LAE1 and CIPFA1 returns:**
 - Is there an appropriate system to record and store both historical and current H&S information about premises?

- **has the ability to share data with other organisations and within their own EA to minimise information burden resources and requests to businesses:**
 - Is relevant H&S information shared with other organisations, including the Inland Revenue, Fire Service, Trading Standards and National Non-Domestic Rates to maximise intelligence gathering?
 - Is there an appropriate system to facilitate the required S18 Standard for partnership?
 - Is your EA fully compliant with the Data Protection Act 1998 and Freedom of Information Act 2000?
 - Do you have relevant Memorandums of Understanding or protocols in place to carry out the enforcement activities which have been agreed and can be drawn up centrally?

- **has the ability to involve businesses in vetting data requirements:**

- Is there a system in place to review and update data between your EA's departments that minimises the burden between the EA and the businesses within the EA?
- Is best practice shared on the HELA Extranet?