

Section 18 Standard Toolkits

Make it happen...

Management Infrastructure Toolkit

The Section 18 Standard requires every Enforcement Authority (EA) to have an effective management infrastructure in place to:

- develop, deliver, monitor and review their interventions;
- deliver an effective service;
- comply with their statutory duties.

(See [Commitment, Priorities and Planned Interventions Toolkit](#) for information on risk-based interventions.)

Basic requirements

To meet the Standard every EA should have in place:

- **management reporting arrangements that:**
 - enable managers and policy/decision makers to review and manage performance, direct activity, assign resources, monitor progress, ensure relevant procedures are observed and assure compliance with S18 and all other statutory duties;
 - ensure the development, delivery, monitoring and review of planned and unplanned interventions and that this work is effectively communicated.
 - Management reporting arrangements can be illustrated in organisational structure diagrams (see [Example A](#)) and reflected in job descriptions as 'reporting to'.
- **systems of control, from management to operational and administrative staff, that:**
 - ensure that staff deliver agreed work in a specified manner that fits with service/intervention plans and that they follow relevant procedures. The aim of such systems is to achieve control over delivery of planned objectives/outcomes;
 - ensure that staff are clear about the line management responsibility for developing, delivering, monitoring and reviewing planned and unplanned interventions and their particular role in these activities:
 - EAs should be able to demonstrate good internal management control and reporting arrangements/procedures as evidence of compliance, eg:
 - individual one-to-one meetings of inspector with line manager, workload reviews, team briefings and internal audits;
 - it may be appropriate with some interventions to adopt either individual EA management control or a wider regional management group approach – these arrangements should be agreed with EA senior management;
 - a range of different 'project management frameworks', eg 'PRINCE 2', or more simplistic in-house systems appropriate to the type, size, nature and complexity of the project and number of partners involved (see [Example B1](#), [Example B2](#), [Example B3](#), [Example B4](#), [Example B5](#), [Example B6](#), [Example B7](#), [Example C](#));
 - written procedures in place, eg investigation and authorisation procedures.

- **routes for communication throughout the organisation and between operational and administrative staff and with policy and decision makers that:**
 - enable effective flow of necessary information between the key players involved, including those delivering aspects of the work plan which generate outcomes, reports and data and those selecting, assessing and determining the quality and benefits of the range of interventions undertaken;
 - enable effective communications within teams, with immediate management tiers, between operational staff and higher level policy/decision makers and the political levels of the organisation, where appropriate, to keep them informed about progress and outcomes of interventions, including processes for reporting on exceptional items (eg enforcement actions, Legionella outbreaks, unforeseen resource reduction etc);
 - ensure that the development, delivery, monitoring and review of interventions is communicated within the EA and that staff and policy and decision makers are aware of how their inputs and outcomes are communicated:
 - see [Example D](#) for examples of various communication methods;
 - see [Example E](#) for example of 'Initiation of Formal Proceedings' procedure documents.

- **definitions of work roles and responsibilities for delivering effective services that:**
 - ensure that the right things are done in the right way by the right people at the right time;
 - ensure that an appropriate staffing mix or profile exists (eg combination of competent enforcement staff, eg EHOs, Technical/Enforcement Officers or Inspectors and non-warranted support/administrative staff);
 - ensure the assignment of responsibilities to individual named posts, people or teams (commensurate with their competencies, experience and authorisation);
 - ensure that staff know what their role is in developing, delivering, monitoring and reviewing planned and unplanned interventions and their contribution to health & safety (H&S) outcomes:
 - work roles, tasks and responsibilities should normally be defined in job descriptions and operational procedures, with lead inspector responsibilities for specified project work clarified in service/intervention plans or via other appropriate means.

- **arrangements to support, supervise and coach staff to retain and develop experience and competence that:**
 - ensure that managers have access to the necessary skills, tools and opportunities to help staff meet their individual development needs in line with overall business needs;
 - ensure that managerial and operational staff know how these arrangements are operated, accessed and delivered:
 - arrangements of this type may include:
 - inexperienced staff working closely with more experienced colleagues;
 - less knowledgeable staff working with specialist colleagues;
 - providing work opportunities to develop particular expertise;
 - mentoring;
 - training opportunities;
 - structured review and development programmes;
 - use of the Regulator's Development Needs Analysis tool;
 - use of secondments or other sharing arrangements.

Key points

- Effective management of the development, delivery, monitoring and review of interventions is essential for delivering an effective H&S service.
- The approach to developing, delivering, monitoring and reviewing interventions should be structured and recorded.
- Systems of control include written procedures and policies as well as personal controls.
- The effective use of information systems to target, track and assess progress and generate accurate, timely reports is considered fundamental (see [Information System Toolkit](#)).

Benefits of effective management infrastructure

- Provides a framework for developing, delivering, monitoring and reviewing your planned and unplanned interventions.
- Increased likelihood of delivering agreed objectives, achieving performance indicators and taking successful enforcement action.
- Timely, effective monitoring of interventions will hopefully identify any slippage in progress in sufficient time to allow measures to be taken to get back on schedule.
- Effective communication with staff resulting in a better understanding of their role (ie what is required of them, why and within what timeframe).
- Improved communications about the value and worth of interventions with senior management and policy/decision makers raise the profile of H&S regulators.
- Formalised, sustainable, common management arrangements for assessing and meeting regulatory staff development needs resulting in improved competence of individuals and the inspectorate as a whole.

Further sources of information

- Examples of reports, diagrams, charts, model designs etc that will help EAs to comply:
 - [Example A](#) – Organisational structure and chain of reporting flowchart for a local authority
 - [Example B1](#), [Example B2](#), [Example B3](#), [Example B4](#), [Example B5](#), [Example B6](#), [Example B7](#), [Example C](#) – Various Project Planning examples
 - [Example C](#) – HSE project guidance
 - [Example D](#) – Various communication methods
 - [Example E](#) – ‘Initiation of Formal Proceedings’ procedure documents
 - [HSE’s Internal Operational Instructions and Guidance](#)

Management Infrastructure

Are you compliant with S18's Management Infrastructure requirements?

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

- **has a robust management infrastructure in place:**
 - Have you developed a plan of risk-based targeted interventions?
 - Have you successfully delivered your planned interventions and reacted to unplanned events?
 - Have you checked progress of planned and unplanned interventions against your performance indicators?
 - Have you looked at what worked well, what worked less well, lessons learned and put in place any corrective actions and/or carried over work to next planning cycle?

- **has management reporting arrangements in place:**
 - Do staff (administrative, legal, operational, management, including members) help develop planned interventions?
 - Do staff have suitable and sufficient information on planned interventions, expected performance, progress against plan and against performance measures?
 - Do you report to senior managers (including members) on progress of planned and unplanned interventions and against performance measures?
 - Do middle and senior management (including members) monitor and review performance, receive reports on progress, direct activities, assign resources and ensure S18 compliance?

- **systems of control from management to operational and administrative staff:**
 - Are staff clear about the line management responsibility for developing, delivering, monitoring and reviewing planned and unplanned interventions and their particular role in this?

- **routes for communication throughout the organisation and between operational and administrative staff and with policy and decision makers:**
 - Are staff aware of how their work on interventions is or can be communicated within your organisation?

- **definitions of work roles and responsibilities for delivering effective services:**
 - Do staff know what their role is in delivering H&S outcomes?

- **arrangements to support, supervise and coach staff to retain and develop their experience and competence:**
 - Do staff know what these arrangements are and how to deliver or access them?