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To: Councillor Allan, Convener; Councillor Houghton, Vice Convener; and Councillors Cameron, Copland, Delaney, Graham, Hutchison, Macdonald and Reynolds.

Trade Union Advisers: Carole Thorpe and Ron Constable (EIS); Brenda Murdoch and David Willis (GMB); Edwin Cameron and Thomas Whyte (SSTA); Kenny Luke and Alison Robertson (UNISON); Joe Craig and Mishelle Gray (UNITE); and Rob Stephen and 1 vacancy (VOICE).

Town House,
ABERDEEN, 23 January 2019

STAFF GOVERNANCE COMMITTEE

The Members of the **STAFF GOVERNANCE COMMITTEE** are requested to meet in **Committee Room 2 - Town House** on **THURSDAY, 31 JANUARY 2019 at 2.00 pm.**

FRASER BELL
CHIEF OFFICER - GOVERNANCE

BUSINESS

DETERMINATION OF URGENT BUSINESS

1.1 There are no items at this time

DETERMINATION OF EXEMPT BUSINESS

2.1 Members are requested to determine that any exempt business be considered with the press and public excluded

DECLARATIONS OF INTEREST

3.1 Members are requested to declare any interests (Pages 5 - 6)

REQUESTS FOR DEPUTATION

4.1 None at this time

MINUTE OF PREVIOUS MEETING

5.1 Minute of Previous Meeting (Pages 7 - 12)

COMMITTEE PLANNER

6.1 Committee Business Planner (Pages 13 - 16)

NOTICES OF MOTION

7.1 None at this time

REFERRALS FROM COUNCIL, COMMITTEES AND SUB COMMITTEES

8.1 None at this time

COUNCIL POLICIES AFFECTING STAFF

9.1 Policy on Use of Call Recording - CUS/19/104 (Pages 17 - 28)

9.2 Staff Travel Policy - RES/18/150 (Pages 29 - 52)

HEALTH, SAFETY & WELLBEING OF STAFF

10.1 Cluster Risk Registers - People and Organisation - RES/19/165 (Pages 53 - 60)

10.2 Employee Mental Health Action Plan - RES/19/160 (Pages 61 - 74)

10.3 Sickness Absence Update - RES/19/051 (Pages 75 - 86)

10.4 Occupational Health Quarterly Report - GOV/18/067 (Pages 87 - 96)

10.5 Employee Assistance Service - July - September 2018 - RES/19/052 (Pages 97 - 106)

10.6 Bridge of Don Academy Asbestos Incident - RES/19/162 (Pages 107 - 124)

EXEMPT BUSINESS

11.1 Bridge of Don Academy - Exempt Appendix (Pages 125 - 132)

EHRIAs related to reports on this agenda can be viewed [here](#)

To access the Service Updates for this Committee please click [here](#)

Website Address: www.aberdeencity.gov.uk

Should you require any further information about this agenda, please contact Stephanie Dunsmuir, tel 01224 522503 or email sdunsmuir@aberdeencity.gov.uk

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Declarations of Interest

You must consider at the earliest stage possible whether you have an interest to declare in relation to any matter which is to be considered. You should consider whether reports for meetings raise any issue of declaration of interest. Your declaration of interest must be made under the standing item on the agenda, however if you do identify the need for a declaration of interest only when a particular matter is being discussed then you must declare the interest as soon as you realise it is necessary. The following wording may be helpful for you in making your declaration.

I declare an interest in item (x) for the following reasons

For example, I know the applicant / I am a member of the Board of X / I am employed by...

and I will therefore withdraw from the meeting room during any discussion and voting on that item.

OR

I have considered whether I require to declare an interest in item (x) for the following reasons however, having applied the objective test, I consider that my interest is so remote / insignificant that it does not require me to remove myself from consideration of the item.

OR

I declare an interest in item (x) for the following reasons however I consider that a specific exclusion applies as my interest is as a member of xxxx, which is

- (a) a devolved public body as defined in Schedule 3 to the Act;
- (b) a public body established by enactment or in pursuance of statutory powers or by the authority of statute or a statutory scheme;
- (c) a body with whom there is in force an agreement which has been made in pursuance of Section 19 of the Enterprise and New Towns (Scotland) Act 1990 by Scottish Enterprise or Highlands and Islands Enterprise for the discharge by that body of any of the functions of Scottish Enterprise or, as the case may be, Highlands and Islands Enterprise; or
- (d) a body being a company:-
 - i. established wholly or mainly for the purpose of providing services to the Councillor's local authority; and
 - ii. which has entered into a contractual arrangement with that local authority for the supply of goods and/or services to that local authority.

OR

I declare an interest in item (x) for the following reasons.....and although the body is covered by a specific exclusion, the matter before the Committee is one that is quasi-judicial / regulatory in nature where the body I am a member of:

- is applying for a licence, a consent or an approval

- is making an objection or representation
- has a material interest concerning a licence consent or approval
- is the subject of a statutory order of a regulatory nature made or proposed to be made by the local authority.... and I will therefore withdraw from the meeting room during any discussion and voting on that item.

STAFF GOVERNANCE COMMITTEE

ABERDEEN, 1 November 2018. Minute of Meeting of the STAFF GOVERNANCE COMMITTEE. Present:- Councillor Allan, Convener; Councillor Houghton, Vice-Convener; and Councillors Cameron, Copland, Delaney, Graham, Hutchison, Macdonald and Reynolds.

Trade Union Advisors present:- Ron Constable and Carole Thorpe, EIS; Mike Middleton and Neil Watson, GMB; Thomas Whyte, SSTA; Alison Robertson and Mark Musk, UNISON; and Liam Knox, UNITE.

The agenda and reports associated with this minute can be found [here](#).

Please note that if any changes are made to this minute at the point of approval, these will be outlined in the subsequent minute and this document will not be retrospectively altered.

WELCOME

1. The Convener welcomed Liam Knox to the Committee, noting that he was substituting for UNITE as Mishelle Gray, Fiona Sales and Joe Craig were unable to attend. She further welcomed Isla Newcombe, the newly appointed Chief Officer – Organisational Development, noting that she looked forward to working with her on the Committee. Finally, the Convener welcomed Councillor Hutchison to his first meeting since replacing Councillor Allard on the Committee.

DECLARATIONS OF INTEREST

2. Members were requested to intimate any declarations of interest in respect of the items on today's agenda, thereafter the following declarations of interest were intimated at this stage in the meeting:-

(i) The Convener and Councillor Macdonald declared an interest in all items on the agenda by virtue of their membership of Unite the Union, but neither felt it necessary to leave during consideration of any items of business.

MINUTE OF PREVIOUS MEETING

3. The Committee had before it the minute of its previous meeting of 3 September 2018.

The Committee resolved:-

to approve the minute as a correct record.

STAFF GOVERNANCE COMMITTEE

1 November 2018

COMMITTEE BUSINESS PLANNER

4. The Committee had before it the committee business planner as prepared by the Chief Officer – Governance.

The Committee resolved:-

- (i) to note that a service update had been provided in relation to item 9 on the planner (Recruitment and Retention of Lorry Drivers), but in light of the comments made at the meeting about evaluation of the grading of posts and the continued difficulty with recruitment, to instruct officers to take the comments into consideration and revisit the matter, with a follow up report to Staff Governance Committee in January 2019, to include figures in respect of the non-financial benefits to working for Aberdeen City Council if this could be quantified; and
- (ii) to otherwise note the updates contained in the planner.

SUPPORTING ATTENDANCE AND WELLBEING POLICY - RES/18/191

5. The Committee had before it a report by the Director of Resources which sought approval for the attached Supporting Attendance and Wellbeing policy to replace the existing Maximising Attendance policy.

The report recommended:-

that Committee approve the Supporting Attendance and Maximising Wellbeing Policy to replace the existing Maximising Attendance Policy, to take effect from 1 January 2019 to allow for necessary training and other administrative arrangements to be completed.

The Committee resolved:-

to approve the recommendation.

STAFF TRAVEL POLICY - RES/18/150

6. The Committee had before it a report by the Director of Resources which sought feedback from the Staff Governance Committee ahead of submission to the City Growth and Resources Committee for approval of the amended staff travel policy.

The report recommended:-

that the Staff Governance Committee –

- (a) provide comment on the report from a staffing perspective; and
- (b) instruct the Chief Officer – Finance to consult with Trade Unions on the draft policy prior to its submission to the City Growth and Resources Committee.

STAFF GOVERNANCE COMMITTEE

1 November 2018

The Committee resolved:-

to defer consideration of the report to the January meeting of the Committee to allow for consultation on the draft policy with Trade Unions.

CORPORATE HEALTH AND SAFETY - JULY TO SEPTEMBER 2018 - GOV/18/190

7. The Committee had before it a report by the Chief Officer – Governance which summarised statistical health and safety performance information for the three-month reporting period July-September 2018 to provide the Committee with the opportunity to monitor compliance with health and safety legislation.

The report recommended:-

that Committee –

- (a) review, discuss and comment on the issues raised within the report; and
- (b) scrutinise and review health, safety and wellbeing policy, performance, trends and improvements.

The Committee resolved:-

- (i) to note the update provided by officers in respect of the recent fire drill at the Town House, and to request that officers run another fire drill once all necessary checks had been undertaken to ensure that any issues had been rectified;
- (ii) in respect of section 3.4 in the report (incidents across all Functions), to note that officers would provide information outwith the meeting to clarify the figures in this section;
- (iii) in respect of section 3.9 in the report (HSE reportable incidents), to request that a report be submitted upon conclusion of the Health and Safety Executive investigation, to identify any areas of good practice raised and to include reference to any lessons learned from previous incidents;
- (iv) in respect of section 3.37 in the report (Mental Health), to note that officers would provide clarification outwith the meeting in respect of the percentage of employees by headcount who were absent for mental health issues and any variance in headcount; and
- (v) to otherwise note the report.

INTRODUCTION OF A "SHARED COST ADDITIONAL VOLUNTARY CONTRIBUTION (SCAVC)" PENSION ARRANGEMENT - GOV/18/200

8. The Committee had before it a report by the Director of Resources which provided detail on the Shared Cost Additional Voluntary Contribution pension arrangement, and sought agreement to convert the existing Additional Voluntary Contributions (AVC) scheme provided by Prudential (in partnership with the Local Government Pension Scheme (LGPS)) into a "shared cost, salary sacrifice" version (SCAVC) to take advantage

STAFF GOVERNANCE COMMITTEE

1 November 2018

of the National Insurance Contribution savings available to both employees and the Council.

The report recommended:-

that Committee approve the conversion of the existing Additional Voluntary Contributions scheme into a Shared Cost Additional Voluntary Contribution pension arrangement.

The Committee resolved:-

to approve the recommendation.

- **COUNCILLOR YVONNE ALLAN, Convener**

STAFF GOVERNANCE COMMITTEE
1 November 2018

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	A	B	C	D	E	F	G	H	I
1	STAFF GOVERNANCE COMMITTEE BUSINESS PLANNER The Business Planner details the reports which have been instructed by the Committee as well as reports which the Functions expect to be submitting for the calendar year.								
2	Report Title	Minute Reference/Committee Decision or Purpose of Report	Update	Report Author	Chief Officer	Directorate	Terms of Reference	Delayed or Recommended for removal or transfer, enter either D, R, or T	Explanation if delayed, removed or transferred
3			31 January 2019						
4	Absence Update	To update Committee on absence rates for ACC		Neil Yacamini	People and Organisation	Resources	5.3		
5	Bridge of Don Academy	To update Committee on the health and safety incident at Bridge of Don Academy		Colin Leaver	Governance	Resources	6		
6	Policy on Use of Call Recording	To review the Policy on Use of Call Recording which provides the framework for recording and monitoring of customer calls in the Customer Contact Centre.		Alexander Ryland	Customer Experience	Customer	4.1 / 5.3		
7	Recruitment and Retention of Lorry Drivers	ODC 29/05/18 - To request that a report be brought to the Staff Governance Committee, to investigate what initiatives could be used to recruit and retain lorry drivers. SGC 01/11/18 - In light of the discussion at Committee about evaluation of the grading of posts and the continued difficulty with recruitment, to instruct officers to take the comments into consideration and revisit the matter, with a follow up report to SGC in January 2019 to include figures in respect of non-financial benefits to working with ACC if this could be quantified.		Pam Walker	Operations and Protective Services	Operations	Purpose 5	D	To be delayed to March 2019 to enable collaboration with the Roads Service to bring forward a joint report on recruitment and retention issues on behalf of both services.
8	Occupational Health Quarterly Report	To present the quarterly occupational health report.		Neil Yacamini	People and Organisation	Resources	5.2		
9	Risk Register (People and Organisation)	To present the risk register		Isla Newcombe	Organisational Development	Resources	GD 7.4		
10	Behavioural Framework: Stage 1 Organisational Principles	To report on organisational principles and associated behavioural descriptors		Dorothy Morrison/ Martin Wyllie	People and Organisation	Resources	6.1	D	A service update will be provided to set out progress to date and a report will be brought to Committee on 18 March 2019.

	A	B	C	D	E	F	G	H	I
	Report Title	Minute Reference/Committee Decision or Purpose of Report	Update	Report Author	Chief Officer	Directorate	Terms of Reference	Delayed or Recommended for removal or transfer, enter either D, R, or T	Explanation if delayed, removed or transferred
2									
11	Staff Travel Policy	To present the revised staff travel policy for comment prior to presentation to City Growth & Resources Committee for approval		Carol Smith	Finance	Resources	4.1		Deferred from September 2018 meeting to allow for consultation with Trade Unions
12	Employee Mental Health Action Plan	SGC 29/06/18 - To note the request to produce a mental health action plan based on robust evidence-based data and to instruct the Interim Chief Officer - People and Organisation to gather relevant data and present this to the meeting of the Staff Governance Committee on 1 November 2018 together with any necessary action plan.		Keith Tennant	People and Organisation	Resources	1.3		
13	Employee Assistance Scheme Six Monthly Report	To present the employee assistance scheme six monthly report		Neil Yacamini	People and Organisation	Resources	5.2		
14			18 March 2019						
15	Health and Safety Quarterly Report	To present the quarterly health and safety report - will include Record of Health & Wellbeing Events as appendix		Colin Leaver	Governance	Governance	5.2		
16	Roads Infrastructure Current Skills Shortages	ODC 06/11/18 - To request that item 15 (Roads Infrastructure Current Skills Shortages) be referred to Staff Governance Committee in order for a report to be brought back with details on this matter		Alan Robertson	Operations and Protective Services	Operations	TBC		Referred from Operational Delivery Committee
17	Violence in the Workplace Policy	SGC 03/09/18 - to instruct the Interim Chief Officer - People and Organisation to consider the request from Unison to explore the merit of producing an employment policy dealing with the effects of violence against women and to report back to the Committee by March 2019 on whether such a policy was required - The Convener proposed that a wider review in respect of violence in the workplace be considered and the Trade Unions expressed support for this.		Keith Tennant	People and Organisation	Resources	1.3		
18	Occupational Health Quarterly Report	To present the quarterly occupational health report.		Neil Yacamini	People and Organisation	Resources	5.2		
19			18 June 2019						
20	Equal Pay Audit	SGC 04/05/18 - To request that following the equal pay audit report having been considered by the Audit, Risk and Scrutiny Committee that a copy of the report be submitted to a meeting of this Committee for information		Neil Yacamini	People and Organisation	Resources	6		
21	Annual Committee Effectiveness Report	To present the annual effectiveness report for the Committee.		Stephanie Dunsmuir	Governance	Governance	GD 7.4		

	A	B	C	D	E	F	G	H	I
	Report Title	Minute Reference/Committee Decision or Purpose of Report	Update	Report Author	Chief Officer	Directorate	Terms of Reference	Delayed or Recommended for removal or transfer, enter either D, R, or T	Explanation if delayed, removed or transferred
2									
22	Employee Assistance Scheme Annual Report	To present the annual Employee Assistance Programme Annual report		Neil Yacamini	People and Organisation	Resources	5.2		
23	Employee Assistance Scheme Six Monthly Report	To present the employee assistance scheme six monthly report		Neil Yacamini	People and Organisation	Resources	5.2		
24	Occupational Health Quarterly Report	To present the quarterly occupational health report		Neil Yacamini	People and Organisation	Resources	5.2		
25	Young Person's Strategy	To report progress on the project in respect of Developing the Young Workforce and to seek approval for the strategy		Lesley Strachan	People and Organisation	Resources	Purpose 5 / 3.1		
26			1 October 2019						
27									
28									
29									
30			10 December 2019						
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ABERDEEN CITY COUNCIL

COMMITTEE	Staff Governance Committee
DATE	31 January 2019
REPORT TITLE	Policy on Use of Call Recording
REPORT NUMBER	CUS/19/104
DIRECTOR	Andy MacDonald
CHIEF OFFICER	Jacqui McKenzie
REPORT AUTHOR	Alexander Ryland
TERMS OF REFERENCE	4.1, 5.3

1. PURPOSE OF REPORT

To review the Policy on Use of Call Recording which provides the framework for recording and monitoring of customer calls in the Customer Contact Centre.

2. RECOMMENDATION

That the Committee:

- 2.1 Approves the revised policy and instructs the Chief Officer – Customer Experience to implement outlined changes.

3. BACKGROUND

- 3.1 Calls at the Customer Contact Centre are recorded and monitored for the purposes of quality assurance and health and safety. This has been in use since shortly after the Contact Centre was established in 2008 with a policy in place to govern the way recordings are made, stored and used. This policy was developed in consultation with trade union colleagues.
- 3.2 The original business case for recording calls was made based on concerns related to health and safety of employees due to abusive or threatening behaviour by customers. This was supplemented by the need for an effective way of managing disputes and complaints with customers. Calls for Community Alarms are recorded as a mandatory part of that service due to the nature of calls received (e.g. people in life threatening situations).
- 3.3 A report was agreed at Resources Management Committee on 3 June 2008 noting that a policy had been prepared and implemented as part of wider approval sought for purchasing a call recording solution.

- 3.4 This policy recently required a review to be compliant with GDPR and ensure best practice. It includes updates to the following sections:

Section	Changes
2.1 How we use recordings of calls	Included reference to incident reports and time to recover from an incident. Updated wording around performance management framework.
2.2 Who has access to recordings	Simplified wording around who has access to recordings and why. Added ability to play recordings to other services for purpose of quality control.
3.2 How recordings are stored	Remove references to DVD storage.
3.4 Data protection and freedom of information	Updated references to GDPR and included legal basis for processing personal data.
4.1 How we inform our staff	Include section explaining that employees should be informed of the policy regularly.
4.3 Review of the policy	Included reference to Staff Governance Committee and new Chief Officer title. Changed review cycle from 18 months to three years.
4.4 Links to other corporate policies	References to other policies which should be read in conjunction with this policy.

4. FINANCIAL IMPLICATIONS

- 4.1 There are no financial implications arising from this report.

5. LEGAL IMPLICATIONS

- 5.1 The introduction of the General Data Protection Regulation [GDPR] and the Data Protection Act 2018 has had implications for call recording. A privacy notice has been published on the Council's website and a review undertaken of the way in which data is managed. Customers are informed that calls are recorded at the start of their call allowing them the opportunity to end the call and contact the Council using a different method if they are unhappy with the recording of the call. Staff are informed about call recording as part of their induction.
- 5.2 This policy has had input from the Data Protection Officer and is consistent with the Council's responsibilities for data protection.
- 5.3 For the provision of Community Alarms in the Regional Communications Centre, it is a contractual requirement that calls are recorded. Aberdeen City Council provides this service on behalf several other Scottish local authorities.

6. MANAGEMENT OF RISK

	Risk	Low (L), Medium (M), High (H)	Mitigation
Legal	Non-compliance with GDPR and Data Protection Act 2018 in management, storage and/or use of recorded calls could result in enforcement action and/or reputational risk to the Council.	L	Legal advice has confirmed that the policy is consistent with obligations under GDPR.
Employee	Wellbeing issues arising from calls are not appropriately addressed	L	Quality assurance will highlight these issues which must be noted as part of the call review. Team Leaders are responsible for taking action in line with their duty of care toward employees.
Employee	Performance management issues arising from calls are not appropriately addressed	L	The performance management framework used as part of quality assurance will enable such issues to be properly addressed in an appropriate way between employees and line managers consistent with HR policy.
Customer	Customer complaints are not followed up properly or logged as required	L	This policy will be followed in line with the complaints procedure. Calls are quality assured by management.

7. OUTCOMES

Design Principles of Target Operating Model	
	Impact of Report
Customer Service Design	Supports a data-led approach to improving service delivery through quality assurance.

Organisational Design	Ensures accountability for delivering a consistent customer journey in the Customer Contact Centre regardless of the service provided.
Governance	Supports better management of performance, and has central focus on the health, safety and wellbeing of employees. A main purpose of call recording is to ensure wellbeing is positively managed.
Workforce	Provides further tools to empower managers to properly oversee the performance of the service, support employees in their roles, and take ownership of wellbeing issues.

8. IMPACT ASSESSMENTS

Assessment	Outcome
Equality & Human Rights Impact Assessment	Required
Privacy Impact Assessment	Required
Duty of Due Regard / Fairer Scotland Duty	Not applicable

9. BACKGROUND PAPERS

N/A

10. APPENDICES

Policy on Use of Voice Recording v6.1

11. REPORT AUTHOR CONTACT DETAILS

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POLICY FOR USE OF VOICE RECORDING

Contents

Revision history	2
1 Background	3
2 Recording calls and usage	3
2.1 How we use recordings of calls	3
2.2 Who has access to recordings	5
2.3 How recordings are listened to	5
3 Management of recorded call data.....	5
3.1 How calls are recorded.....	5
3.2 How recordings are stored.....	6
3.3 How we inform customers	6
3.4 Data Protection and Freedom of Information	6
4 Implementing and reviewing this policy	7
4.1 How we inform our staff	7
4.2 Making a private call	7
4.3 Review of the Policy	8
4.4 Links to Other Corporate Policies.....	8

Revision history

Version	Date	Author	Summary of Changes
1.0	01/04/08	Lone Pedersen, Project Executive	Document issued
2.0	22/08/11	Silla Haili, Project Executive	Changes to reflect move to Frederick Street, changes to relevant job titles, supporting staff in receipt of abusive calls section.
3.0	18/07/12	Lucy McKenzie, Project Executive	Changes to reflect the process for access to calls and update of the Performance Development and Evaluation Framework.
4.0	04/06/15	Lucy McKenzie, Project Executive	Changes to reflect the minor change in process for Services requiring access to calls and changes to reflect the revised archive process due to change of supplier.
5.0	01/03/17	Lucy McKenzie, Project Executive	General review of policy.
6.0	01/08/18	Alexander Ryland, Customer Experience Officer	Update for GDPR and removal of DVD storage. Added how we inform staff and ordered into numbered sections.
6.1	23/11/18	Alexander Ryland, Customer Experience Officer	Updates from service comments

1 Background

1.1 This policy is in place to ensure the effective and appropriate use of voice recording in the Customer Contact Centre. Its purpose is to provide transparency for staff on how voice recording is used and managed.

1.2 The main reasons for using voice recording are:

- To assist in the clarification of accusations and to aid the resolution of disputes and complaints;
- To provide support to staff affected by abusive calls;
- To appropriately deal with irate, abusive and/or threatening behaviour;
- To provide quality assurance; and
- To identify and aid the training and development of staff.

2 Recording calls and usage

2.1 How we use recordings of calls

2.1.1 To assist in the clarification of accusations and to aid the resolution of disputes and complaints.

Recorded calls can be used to clarify the content of a call when investigating details of an accusation, complaint and/or dispute, and thereby help their resolution. Recorded calls are only used for this purpose when an issue has been raised by either a customer or a member of staff. Recorded calls can form part of a disciplinary proceeding if necessary.

2.1.2 To provide support to staff affected by abusive calls

Recorded calls can be used by Team Leaders to support a member of staff who has been affected by an abusive call in line with Aberdeen City Council's Health and Safety Policy. Members of staff who have been affected by an abusive call will be given time to recover and will be asked to complete an Incident Report form to formally record the incident. If appropriate, the call will be listened to by the Team Leader and the relevant member of staff to support the member of staff in overcoming the distress caused and to help them develop tools to overcome the effects an abusive call can have.

2.1.3 To appropriately deal with irate, abusive and/or threatening behaviour

Recorded calls may be used to investigate the details, nature and extent of irate, abusive and/or threatening behaviour. Recorded calls are only used for this purpose when an issue has been raised by either a customer or a member of staff. Where it is found that a customer or a member of staff has behaved in an unacceptable manner, the contents of the call will help to ensure that appropriate action is taken in proportion to the severity of the incident. This may include Police involvement and recorded calls can be used as part of a Police investigation. In relation to members of staff, calls can also be used as evidence in a disciplinary process.

2.1.4 To provide quality assurance

- a) A call quality monitoring framework has been developed in conjunction with Team Leaders, the Customer Service Operations Manager and the local trade union representatives to ensure that services are delivered consistently to our customers. The framework has been designed in such a way that it aligns with and links directly to the corporate Performance Review & Development scheme. The framework ensures that a fair, robust and consistent process is applied and that all members of staff are treated equally.
- b) For the purpose of quality assurance, recorded calls are subject to regular sampling by the relevant Team Leader and/or the Customer Service Operations Manager. This helps to ensure a consistently high quality of call handling and service delivery. Calls for this purpose are automatically and randomly selected by the system according to specific criteria and are not manually selected by a Team Leader or the Customer Service Operations Manager.
- c) When developing the framework, particular attention has been paid to creating a balanced approach to quality assurance, whereby quality of call handling is sufficiently assessed, but which is not excessive. Through the framework, standards have been set for call handling, which every member of staff would be expected to meet consistently. Should a member of staff fail to perform to any of these standards regularly, it will be identified as a development need and appropriate training will be given as a result of this. This will be provided in accordance with Aberdeen City Council's Managing Performance policy.

2.1.5 To identify and aid the training and development of staff

- a) Recorded calls are used for training and development purposes. This is carried out by the relevant Team Leader. Calls used for this purpose will be listened to by the Team Leader and the relevant member of staff. In order to develop best practice, calls taken by another member of staff, other than the staff receiving training, can be used for training purposes, subject to agreement with the member of staff whose call(s) is/are being used. In this case, the name of

the member of staff handling the call being used for training is not heard, and only calls demonstrating a good example are used.

- b) Please note that the call quality monitoring framework as described above has also been developed for training and development purposes. The framework allows staff to have complete clarity as to how well they are doing at any time as well as to support staff through their ongoing development.

2.2 Who has access to recordings

- 2.2.1 Recorded calls are for use within the Customer Contact Centre only. Access to recorded calls is based on individual user permission set up in the system, and access is only granted to Team Leaders and Customer Service Operations management or their equivalent.
- 2.2.2 Access to and/or copies of recorded calls will not be routinely made available to any other Services and any concerns or complaints are dealt with internally in the Customer Contact Centre. If a complaint relates to service delivery outside the remit of the contact centre, the relevant service will be advised accordingly. If the service needs to hear the call to resolve a complaint, recordings may be listened to by a senior manager of the service. Requests for access will be made to the relevant Team Leader or the Customer Service Operations manager and include the name of the member of staff who needs to hear the call.
- 2.2.3 Recordings may also be listened to for call quality monitoring purposes by a senior manager of the service which the Customer Contact Centre handles calls for. Requests for access will be made to the relevant Team Leader or the Customer Service Operations manager. A random sample will be provided and must be listened to under the supervision of the relevant Team Leader or the Customer Service Operations Manager.
- 2.2.4 The Customer Contact Centre Team Leaders and the Customer Service Operations Manager will receive training on the processes and procedures relating to voice recording. As part of this, they will be informed of the situations when the contents of a call can be shared with another Service and the control mechanisms governing this process.

2.3 How recordings are listened to

- 2.3.1 Recorded calls are listened to in a private setting. Any member of staff can at any time request to listen to their own recorded calls. Following this, the relevant Team Leader and the member of staff will agree a suitable time for the call(s) to be played back. Any such request for listening to calls must be reasonable in terms of the number of calls to be listened to and the time spent on this activity.

3 Management of recorded call data

3.1 How calls are recorded

- 3.1.1 The Customer Contact Centre uses extension side recording. This means that all incoming and outgoing calls to and from the extensions in the Customer Contact Centre are recorded. This includes both internal and external calls made to and from the Customer Contact Centre. A call answered at another location is not recorded until such time that it is transferred to the Customer Contact Centre. We do not record payment information from in order to be PCI-DSS compliant

(It is important to note that the above is based on the specific system characteristics of the supplier).

3.2 How recordings are stored

- 3.2.1 Recorded calls are kept for 6 months, after which point they are deleted. If there is a requirement to keep a specific call after this period, e.g. it may form part of an ongoing case with a customer, the call is kept until such time that it is no longer deemed necessary. Given the different nature of cases, the time a specific call is kept beyond the 6 month period may vary from case to case. Calls kept beyond this period will be reviewed on a regular basis to ensure that no calls are kept after they no longer serve a business purpose.
- 3.2.2 If a member of staff leaves their post, their calls are kept and used for the time period specified above as a call constitutes a business relationship/transaction between the customer and the Council.
- 3.2.3 Recorded calls are stored live through the database server for the 6 month period for which they are kept. All calls in the database are encrypted and can only be accessed with the specific software and appropriate access permissions. The system is set up in such a way that after the 6 month period, calls are automatically deleted from the database and it is no longer possible to retrieve them. However, if there is a justified business requirement to keep a call after the 6 month period, the specific call is tagged in the system and downloaded to a secure area of the council network. The downloading of calls is restricted to the voice recording system administrators.

(It is important to note that the above is based on the specific system characteristics of the supplier).

3.3 How we inform customers

- 3.3.1 All customers, internal and external, making a call to or receiving a call from the Customer Contact Centre, will be notified that their call may be recorded and for what purposes the call

may be used. Customers will also be made aware that all recorded calls will be dealt with in line with the law and Aberdeen City Council's data protection policy. This is done through a message played to the customer when they call the Customer Contact Centre and in a Privacy Notice which is available on the Council website at <https://www.aberdeencity.gov.uk/your-data>.

3.4 Data Protection and Freedom of Information

- 3.4.1 Under Article 15 of the General Data Protection Regulation, customers can request to have access to or obtain a copy of their own call. If such a request is received, the relevant Team Leader or Customer Service Operations Manager or equivalent must be notified, and the Corporate Information Policy and related procedures in relation to subject access requests shall be adhered to.
- 3.4.2 If a customer requests a copy of their own call, the request must be in writing and proof of identity must be provided before the call can be released. The Contact Centre will then respond to the request as quickly as possible, but in any event within 30 days. If the customer is unable to come into the office to listen to the recorded call, the call will be downloaded from the system and a recording or transcription emailed to the customer's private email address as appropriate. All personal information will be muted from the file prior to issue, e.g. names, addresses and account numbers. The member of staff who took the call cannot object to their part of the call being released under such a request unless there are health and/or safety risks associated with the release of the call.
- 3.4.3 Any other request for a recorded call (other than a customer's own call, which would be processed in accordance with the General Data Protection Regulation and the Data Protection Act 2018, as outlined above) would be dealt with under the provisions of the Freedom of Information (Scotland) Act 2002 and Aberdeen City Council's Corporate Information Policy and related procedures in relation to the same.
- 3.4.4 Aberdeen City Council is the Data Controller for this information. Wherever the Council processes personal data, we need to make sure we have a legal basis for doing so in data protection law. The Council understands our legal basis for processing personal data in relation to call recording as 6(1)(e) of the General Data Protection Regulation. This is because monitoring and improving the access we provide to Council services through our Customer Contact Centre is part of our public task. For employees the legal basis is the employee contract.

4 Implementing and reviewing this policy

4.1 How we inform our staff

4.1.1 Staff are informed about this policy as part of their induction when they start working for Customer Experience. Recordings are discussed with staff as part of quality assurance measures and regular discussions in one-to-ones.

4.2 Making a private call

4.2.1 It is recognised that staff have a right to privacy and may have a need to make a private call. An extension located on site, but which does not form part of the Customer Contact Centre and is not subject to recording, is available to staff for making private calls. Staff will not be charged for making private calls. The phones in the Customer Contact Centre are for customers contacting the Council, so if a private call is made to or from a phone in the Customer Contact Centre it will be recorded. Staff will be made aware of this fact.

4.3 Review of the policy

4.3.1 The Chief Officer – Customer Experience will review this policy every three years in co-operation with local trade union representatives. It will, however, be subject to continual review and amendment in the light of experience of its operation and best practice. Changes will only be put into effect following consultation with impacted staff and local trade union representatives, and approval by the Staff Governance Committee.

4.4 Links to other corporate policies

4.4.1 This policy should be read in conjunction with other corporate policies on Health & Safety including:

- Violence & Abuse Towards Employees Policy
- Managing Bullying & Harassment Policy
- Performance Management Policy
- Managing Discipline Policy
- Unacceptable Actions Policy

ABERDEEN CITY COUNCIL

COMMITTEE	Staff Governance Committee City Growth and Resources Committee
DATE	Staff Governance Committee 31 January 2019 City Growth and Resources Committee 7 February 2019
REPORT TITLE	Staff Travel Policy
REPORT NUMBER	RES/18/150
DIRECTOR	Steven Whyte
CHIEF OFFICER	Jonathan Belford
REPORT AUTHOR	Carol Smith
TERMS OF REFERENCE	Staff Governance Committee 4 and 6 City Growth and Resources Committee 1.2

1. PURPOSE OF REPORT

- 1.1 The purpose of this report is to seek Committee approval of the amended staff travel policy.

2. RECOMMENDATIONS

That Staff Governance Committee:-

- 2.1 Comment on the report from a staffing perspective before referral to the City Growth and Resources Committee.

That City Growth and Resources Committee:-

- 2.2 Approve the Staff Travel Policy appended to this report; and
2.3 Approve that the policy be implemented from 1st April 2019.

3. BACKGROUND

- 3.1 The Travel Policy was last amended at Finance, Policy and Resources Committee on 7 June 2016. It is due for review under the policy cycle.
3.2 Financial restraint is currently a significant challenge for the Council, and therefore all expenditure for travel costs and staff resource must be more

thoroughly considered in respect of the cost and benefits against Council priorities and outcomes.

- 3.3 Given the different Conditions of Service and Codes of Conduct relating to staff and members, it has been decided to have 2 separate Travel Policies. To tie in with the review of the Scheme of Governance in March 2019, the Members Travel Policy will be presented as part of this. The Members Travel Policy will be based on the principles and controls recommended by the Audit, Risk and Scrutiny Committee.
- 3.4 Audit, Risk and Scrutiny Committee on 23 November 2017 agreed in relation to Travel Policy that
- procedures should be put in place to ensure the most cost-effective method of travel is put in place.
 - the approval process for foreign travel should be reviewed.
 - the policy should consider timeliness of travel applications to ensure cost effectiveness of travel.

A streamlined approach to the travel approval process is proposed that meets these criteria.

Approval of Journey Purpose and Outcome:

- Programmes of foreign travel (e.g. for economic development or educational outcome purposes) – approved by relevant Committee in advance of the programme with a business case
- One-off Foreign travel – approved by relevant Committee in advance
- Travel within UK – approved by relevant budget holder

Budget availability and value for money check:

- All travel – approved by relevant budget holder

Approval of exceptions that are allowed within the travel policy (for example special needs requirements or higher cost due to lack of availability of accommodation):

- All travel – relevant Chief Officer

- 3.5 A review has been undertaken to align the policy to the new Scheme of Governance approved on 5 March 2018 to
- Ensure that Powers Delegated to Officers align with this policy.
 - Align the format of the travel policy with other documents in the Scheme of Governance.
- 3.6 A process review has been undertaken by the staff administering the travel process who are moving to the Customer Function, Business Services Team. They have identified several inconsistencies and improvements that have been incorporated into the policy to improve use of resources.

4. FINANCIAL IMPLICATIONS

4.1 There are no direct financial implications arising from the recommendations of this report. The implications arising from implementation of this revised expenses policy are that it is expected to reduce costs associated with travel outside the City.

5. LEGAL IMPLICATIONS

5.1 There are no direct legal implications arising from the recommendations of this report. Data protection implications are covered in the staff privacy notice.

6. MANAGEMENT OF RISK

	Risk	Low (L), Medium (M), High (H)	Mitigation
Financial	If the policy is not implemented then there is a risk that the Council spends too much on travel, reducing financial resources available to other priorities and outcomes of the Council.	M	All staff advised of new policy and additional checks required. All responsible staff implement new checks in policy.
Legal	None identified	L	
Employee	There is a risk that employees are exposed to criticism and suspicion that travel and expenses are not necessary and extravagant. .	L	All staff advised of new policy and that additional checks on best value and timeliness are required. Following the policy ensures that employees have a framework and structure to base travel decisions on.
Customer	There is a risk that customers may feel the impact of lower levels of service due to financial resources being used inefficiently on staff travel.	L	All staff advised of new policy and additional checks required. All responsible staff implement new checks in policy.

Environment	There is a risk that lowest cost travel would not have the least environmental impact.	L	Ensure that environmental travel records are kept updated and any increase in environmental impact is reported.
Technology	There is a risk that available technology is not effective	L	Instances where technology is not effective are reported and actioned.
Reputational	There is a risk if the policy is not implemented that there is a reputational impact if the cost/benefit of travel is not sufficiently demonstrated to our customers.	M	<p>All staff advised of new policy and additional checks required.</p> <p>All responsible staff implement new checks in policy.</p> <p>Decision making in relation to travel should be subject to a robust business case that adequately justifies the need for the travel to be undertaken.</p> <p>Reporting on benefits of travelling to events provides the Council with assurance about the need for and benefits gained from incurring that expense.</p>

7. OUTCOMES

Local Outcome Improvement Plan Themes	
	Impact of Report
Prosperous Economy	Effective use of travel budget and staff time resource maximises positive impact on economy.
Prosperous People	Effective use of travel budget and staff time resource maximises positive impact on people.
Prosperous Place	Effective use of travel budget and staff time resource maximises positive impact on place.
Enabling Technology	Recognising the benefit of digitisation to support efficient networking, communication and learning will improve how technology is enabled for staff and citizens.

Design Principles of Target Operating Model	
	Impact of Report
Customer Service Design	Travel cost and staff time priorities should be aligned to networking, communication and learning opportunities that support customer service design e.g. early intervention and prevention, data management and are aligned to good customer service.
Organisational Design	Travel cost and staff time priorities should be aligned to effective organisational design e.g. a customer centric approach and ensure accountability of resource use.
Governance	Travel cost and staff time priorities should align with principles of good governance.
Workforce	Travel cost and staff time priorities should align with workforce principles e.g. flexibility and empowerment.
Process Design	Travel processes should be effective in enabling the most cost-efficient method to be used, ensuring responsibility and accountability for travel costs and an objective consideration of the cost/benefit of travel is undertaken.
Technology	Travel cost and staff time priorities should maximise effective use of technology.
Partnerships and Alliances	Travel cost and staff time priorities should maximise the opportunity benefit of partnering e.g. shared travel, one partner representative travelling, maximise partnering opportunities.

8. IMPACT ASSESSMENTS

Assessment	Outcome
Equality & Human Rights Impact Assessment	Not Required
Privacy Impact Assessment	Not Required
Duty of Due Regard / Fairer Scotland Duty	Not Required

9. BACKGROUND PAPERS

Finance, Policy and Resources Committee – 7 June 2016 – CG/16/069 Travel Policy, Procedure and Guidance;
 Audit, Risk and Scrutiny Committee – 23 November 2017 – IA/1814 – Travel Costs;

Council - 5 March 2018 - Standing Orders For Council, Committee and Sub
Committee Meetings; and
Council - 5 March 2018 Powers Delegated To Officers

10. APPENDICES

Appendix 1 – Staff Travel Policy

11. REPORT AUTHOR CONTACT DETAILS

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STAFF TRAVEL POLICY

STAFF TRAVEL POLICY

Table of Contents

1. Introduction	3
2. Compliance	3
3. Purpose and Outcome of Travel	4
4. Cost Effectiveness of Travel	4
5. Environmental Impact of Travel	5
6. Approval Responsibilities	5
6.1 Foreign Travel	5
6.2 Travel within UK	5
6.3 Responsibility of the Chief Officer with the relevant delegated powers	6
6.4 Responsibility of Authorisers	6
7. Associated Documents	6
7.1 Financial Regulations	6
7.2 Working Time Policy	6
Appendix 1 – Policy Detailed Guidance	
A. Detailed Guidance Relevant to All Travel	7
A.1 Booking and Approval	7
A.2 Personal Business	7
A.3 General Exceptions	7
A.4 Travel Insurance and Emergencies	8
A.5 Safety	8
A.6 Calculation of Monetary Rates Applicable	9
B. Detailed Guidance for Types of Travel	10
B.1 Air Travel	10
B.2 Hotel Accommodation	10
B.3 Ground Transport	10
B.4 Car Travel	11
C. Detailed Guidance for Living Expenses	12
C.1 Foreign Currency Expenses Application	12
C.2 Foreign Currency Float	12
C.3 Travel and Subsistence Claim Form	13
C.4 Use of Corporate Credit Card	13
C.5 Inadmissible Expenses	13
D. Miscellaneous Detailed Guidance	15
D.1 Entertaining and Gift Expenses	15
D.2 Travel Funded by Grant Expenditure	15
D.3 Working Hours whilst Travelling	15
D.4 Monitoring of Expenditure	16
Definitions	17

STAFF TRAVEL POLICY

1. INTRODUCTION

This policy covers all local, long-distance and foreign travel undertaken by staff employed by or seconded to the Council. It also covers any other traveller (e.g. client) where Aberdeen City Council funds are used to pay for all or part of the travel.

The policy includes travel for teachers on Council business but excludes school trips attended by pupils and teachers which are covered by a separate policy.

All financial transactions undertaken by or on behalf of the Council are also subject to the Council's Financial Regulations that are referenced in section 7.1 of this policy.

The purpose of this policy is therefore to ensure that all travel arrangements:

- Satisfy the purpose of travel;
- Demonstrate due regard for the safety and welfare of the traveller; and
- Offer value for money and meet Financial Regulations.

The policy sets out key principles of compliance, purpose and outcome of travel, cost effectiveness of travel and approval responsibilities.

Appendix 1 to the policy contains detailed guidance for applying the policy.

The Staff Travel Scheme for Aberdeen City Council comprises the policy, detailed guidance and associated request forms and records.

2. COMPLIANCE

It is the duty of all officers employed by the Council to fully comply with this policy. Failure to comply with the requirements contained within this policy and the associated guidance and procedures may result in an investigation under the Council's Disciplinary Policy and Procedures.

Any breach or non-compliance with these Regulations must, on discovery, be reported immediately to the Chief Officer – Finance. The Chief Officer - Finance may consult other relevant officers, including the Chief Executive, to determine the appropriate action.

Employees who deliberately obstruct or unreasonably fail to provide information to Auditors or any other Officer charged with investigating an allegation within the specified period may be subject to disciplinary action.

3. PURPOSE AND OUTCOME OF TRAVEL

Staff travel within and away from Aberdeen must be for the business objectives of the Council and in fulfilment of its obligations.

For long-distance and foreign travel, a full disclosure of the purpose of travel must be made before the travel is approved. The applicant must set out the intended outcomes of that purpose as aligned to the Local Outcome Improvement Plan Themes - Prosperous Economy, Prosperous People, Prosperous Place and Enabling Technology.

The objectives of the Council include the promotion of and participation in the economic development of the City. These are justifiable purposes for undertaking long distance and foreign travel under this policy.

The travel application form requires travellers and authorisers to confirm purpose of travel and relevant outcomes are justified as priorities for the business objectives of the Council. Any applications which the Business Services Team considers are not fully completed in this respect will be referred to the relevant Chief Officer (or more senior authoriser if applicable).

Where it is concluded from that referral that purpose and outcome justification is insufficient, then the referral may result in refusal to authorise travel, or reimbursement of a lower value in line with the lower cost method of achieving that purpose or outcome.

4. COST EFFECTIVENESS OF TRAVEL

Travellers must choose the best value or lowest cost option and consider whether the travel is necessary, the mode of transport and the time and date of travel.

Travellers are expected to exercise judgement regarding expenses incurred under this policy and to neither personally gain nor lose financially from its implementation.

Timeliness of travel booking is a key factor in cost effectiveness. All travel applications will be completed in a timely way immediately the travel need is identified to make best use of cost effective options.

Business Services can provide advice before the application is made on the best value or lowest cost option.

The travel application form requires travellers and authorisers to confirm cost effectiveness checks and timeliness of the travel booking. Any applications which the Business Services team considers are not compliant in this respect will be referred to the relevant Chief Officer (or more senior authoriser if applicable).

Where it is concluded from that referral that cost effectiveness and timeliness checks are insufficient, then the referral may result in refusal to authorise travel, or reimbursement of a lower value in line with the most timely or cost effective option.

5. ENVIRONMENTAL IMPACT OF TRAVEL

Before booking travel, claimants should consider whether the trip is necessary or whether teleconferencing or video conferencing offer a viable alternative.

When arranging travel, the Council encourages travellers to use modes of transport that results in the least environmental impact. More energy efficient forms of transport such as electric and hydrogen vehicles and low emission vehicles should be considered more appropriate than high emission diesel vehicles.

Records are maintained and monitored of the estimated environmental impact of council travel costs. The Council has a clear intent to reduce the environmental impact of travel by being more efficient and using technology wherever possible.

6. APPROVAL RESPONSIBILITIES

GENERAL RESPONSIBILITIES

All travel and subsistence will be subject to a budget availability and cost effectiveness check by the approved budget holder.

Approval exceptions that are allowed within the policy detailed guidance in Appendix 1 (for example special needs requirements or higher cost due to lack of availability of accommodation) will be approved by the relevant Chief Officer.

Where the travel applicant is a Chief Officer, all approvals will be by their Director and Directors by the Chief Executive. The Chief Executive should seek approval from the Chief Officer - Finance.

6.1 Foreign Travel

The relevant Service Committee will approve programmes of foreign travel for the financial year ahead subject to a business case and ensuring the purpose of travel meets the objectives and outcomes of the Council.

Where a requirement arises for foreign travel during the course of a financial year which was not included within the approved programme of foreign travel, the relevant Service Committee will require to authorise that travel.

6.2 Travel within UK

The relevant approved budget holder will authorise all travel within the UK ensuring the purpose of travel meets the objectives and outcomes of the Council.

Travel in Scotland will be restricted to road and rail networks with the exception of the Northern and Western Isles where sea or air networks may be used.

Travel outside Scotland may involve air networks and therefore the approver should consider carefully the number of participants at events and the higher costs associated with this mode of transport.

6.3 Responsibility of the Chief Officer with the relevant Delegated Powers

The Chief Officer - Finance is responsible for monitoring the Staff Travel Policy. The Chief Officer - Finance shall ensure the Staff Travel Policy is reviewed on an annual basis. Operational experience will be taken into account in this review.

The Chief Officer - Finance may update the Detailed Guidance to the Staff Travel Policy in Appendix 1 following consultation with CMT and the Business Manager.

The Chief Officer - Customer Experience is responsible for administering the Staff Travel Scheme and ensuring arrangements are in place to allow travel to be booked in accordance with this Staff Travel Policy.

6.4 Responsibility of Authorisers

Authorisers of travel and expenses claims, are responsible for checking receipts and ensuring that the claim is appropriate to meet the business needs of the organisation. All individual claims are not re-checked afterwards – they are subject to audit testing and sampling exercises routinely carried out throughout the year.

A claimant cannot authorise their own Travel and Subsistence Claim Forms and similarly cannot authorise their own travel application, foreign currency expenses application, foreign currency float application or similar. Authorisers may delegate their responsibilities to a direct report as a depute to cover for annual leave and sickness, ensuring that the depute is fully aware of their responsibilities.

7. ASSOCIATED DOCUMENTS

In applying this policy, compliance is required with all documents contained within the ACC Scheme of Governance, and specifically with the associated documents set out below.

7.1 Financial Regulations

Financial Regulations are an integral part of the stewardship of Council Funds. Adhering to the Regulations ensures that all financial transactions of the Council are conducted in a manner which demonstrates openness, integrity and transparency. They form a significant part of the governance of the Council.

https://committees.aberdeencity.gov.uk/documents/s80098/AppE_FinancialRegs.pdf

7.2 Working Time Policy

In relation to undertaking travel to meet business need officers must comply with the Working Time Policy. Summary relevant guidance is included in Appendix 1 – Policy Detailed Guidance Section D.3.

<http://thezone/nmsruntime/saveasdialog.asp?IID=39144&SID=8142>

POLICY DETAILED GUIDANCE

A. DETAILED GUIDANCE – RELEVANT TO ALL TRAVEL

A.1 Booking and Approval

The Council will fund approved, ordinary and necessary travel to undertake the business of the Council. All travel applications must be fully completed, authorised and emailed to Travel@aberdeencity.co.uk or sent to Travel Team, Business Services, Business Hub 15, 3rd Floor South, Marischal College for processing.

All major travel expenses for long distance and foreign travel must be booked by the Business Services Team. This allows the Council to ensure that this policy is observed, to achieve purchasing economies, to reclaim any VAT on purchases, to best use the time of staff, and to meet its duty of care to employees.

A.2 Personal Business

Travel applications must include clear information on any time spent on non-Council business, personal travel, recovery time and any other non-Council related activity.

An employee may extend a business trip for personal reasons if approved in accordance with the booking and approval section of this policy. Claimants must use the normal holiday application process in addition to the travel application when applying for an extension of a business trip for personal reasons.

Incremental costs relating to extension must be paid for personally. It must be clearly demonstrated that Council business was the primary purpose of the visit. Leave records should be appropriately completed.

Council insurance does not cover travellers for the additional days of any extension of a business trip for personal reasons.

Should the time spent on personal business in any one trip exceed seven days the traveller must contact the Payroll team for guidance on the taxation position of any reimbursement made by the Council.

A.3 General Exceptions

The relevant Chief Officer may approve requests for upgrades in class of travel, hotel or additional travel expenses where there is a documented health issue relating to the applicant or their family circumstances with corresponding medical advice that justify the additional cost involved in such a decision. In addition to upgrades, travel arrangements may be generally revised in such circumstances where an additional cost may be incurred to protect the safety and well-being of the traveller.

In the event that the traveller is attending an event hosted at a higher standard hotel, or has a business need for a higher standard hotel, then approval in advance is also required from the relevant Chief Officer.

Where there is an exceptional personal or business need for choosing a travel method that is not the most cost effective option, then approval in advance is also required from the relevant Chief Officer.

Evidence of the reason for such exceptions should be provided to the Business Services Team at the time of the request for a higher class or higher cost of travel in advance of the travel taking place.

A.4 Travel Insurance and Emergencies

The Council has a travel insurance policy with Zurich Municipal. The policy number is QLA-14U003-0013.

This policy covers all Council employees, Councillors and relevant representatives of the council for whom the council has accepted responsibility for travel insurance. The policy covers medical expenses, cancellations, delay, personal effects, etc. while engaged in foreign travel for a business purpose, subject to the policy terms and conditions.

Cover is provided for loss of money or personal property and, where expenses are incurred, receipts will be required to support any claim. In the event of theft, the loss should be reported to the police and a copy of their report obtained. Welfare assistance is also provided such as counselling, legal advice, security advice, bereavement advice.

If personal items such as jewellery, phones/tablets, watches etc. are taken on a trip then these are taken at an individual's own risk and are not covered under the policy, unless damage or loss is caused by an Aberdeen City employee. Should a traveller want such items to be covered then this would need to be arranged by them independently of the council.

In the event of an emergency the number +44 (0)1489 868 888(*Security Assistance*) should be contacted immediately, but in any event within 48 hours of any serious accident or illness abroad requiring in patient hospitalisation, extended treatment or alteration to travel arrangements. The number is available 24 hours a day, including weekends and will accept call collect and reverse charge calls.

No arrangements should be made without involving and obtaining the agreement of *Security Assistance*.

An information letter and emergency phone numbers will be supplied by the Business Services Team as part of your travel information.

A copy of the insurance policy is available from the Business Services Team. Any concerns about the adequacy of this policy should be raised in advance with the Business Services Team so that these can be checked with the insurers prior to departure.

A.5 Safety

The employee and the approver should ensure a suitable and sufficient health and safety risk assessment is carried out, if required for the trip, and appropriate risk controls are in place.

This will identify, for example, any risk due to the country of location of the visit or due to the nature of activities being undertaken.

This form should be submitted to the Business Services Team along with the application form.

On receipt of the application, the Business Services Team will review the application and the risk assessment for relevant health and safety information relevant to the country(ies) being visited.

On receipt of any information from the Business Services Team, the traveller and their line manager will agree any mitigating action to be taken to minimise risk.

It is the employee's responsibility to ensure, as far as practicable, that adequate steps are taken regarding personal safety. This will include maintaining links, and taking advice from, the host where appropriate.

Before travel, the employee should leave a mobile telephone number and/or a contact at the host organisation, with a nominated council contact, which may be the line manager or Business Services Team. The nominated contact should also be provided with a copy of the employee's travel itinerary, including departure and arrival times for the journey, and accommodation details.

On arrival at the employee's travel destination, contact should be made with the council nominated officer to confirm arrival. This could be via text, telephone or email depending on time of arrival and the most practical way to maintain contact.

Travellers who may have specific health issues or who are not British Citizens are strongly advised to obtain their own travel advice in relation to the information that will be supplied as a result of these checks as the Business Services Team will not have access to personal information about each traveller.

A.6 Calculation of monetary rates applicable

HMRC produces tables of subsistence rates that provide a measurable value for different countries and in some cases different cities / regions in countries. These represent 'moderated' values for each country that HMRC will allow to be 'given' to an individual by an organisation up to which HMRC is not to be considered for tax purposes. These tables are broken down into different elements of subsistence to provide a framework that can be used to make calculations for advance payments and they provide a reasonable basis upon which to base a scheme for individuals travelling abroad.

The Council uses these as the basis for its currency calculations for staff travelling abroad in respect of hotel and expense advance payments. All such travel living expenses have to be receipted. The full value of the currency advance payment will require to be accounted for and any balance remaining unspent along with receipts must be returned.

These will be updated in consultation with the Accounting team on an annual basis adjusted for the Consumer Price Index for Restaurants and Hotels.

B. DETAILED GUIDANCE FOR TYPES OF TRAVEL

B.1 Air Travel

Flights will be booked using the cheapest available Economy class fare (or equivalent), buying tickets with fixed dates and times. The cost of tickets will be considered in terms of “overall value for money” and factors such as the predictability of travel plans, airline schedules and connection times may mean that a more expensive ticket provides better value for money under a specific set of circumstances.

The Business Services Team will consult with the applicant regarding appropriate flight time and carrier arrangements and to allow sufficient rest time following the flight. Flight arrangements will be made by the Business Services Team giving due weight to the three criteria of travel set out in the Purpose and Scope of this document. If the applicant wishes to extend the trip for personal reasons, then this should be made clear in advance to the Business Services Team with any excess cost being agreed to be funded by the applicant.

While the traveller may retain frequent flyer benefits, these must not result in any incremental cost to the Council.

B.2 Hotel Accommodation

Hotel accommodation will be booked in a convenient hotel to the business location. The hotel standard will be booked by the Business Services Team with reference to HMRC guideline rates dependent on the location. The Business Services Team will take advice from the Travel Partner on suitable accommodation options and where appropriate safety advice from the UK Foreign and Commonwealth Office (FCO) will be considered when making bookings.

Where the cheapest available accommodation exceeds HMRC guidelines by up to 10% the Business Services Team may approve the higher cost. If the cost exceeds this guideline then it must be referred to the Chief Officer-Finance.

Wherever possible, breakfast should be included in the hotel rate. If this is not possible, the cost of breakfast should be claimed in accordance with guidance on living expenses. In the UK where possible, an evening meal will also be booked.

Upgrades to executive floors / rooms are not acceptable unless the hotel offers them on an entirely complimentary basis (as could be the case for frequent visitors).

Local hotel accommodation may be booked in exceptional circumstances where because of operational needs the traveller would be required to undertake travel during unreasonable anti-social hours and/or where it could expose the employee to an inappropriate level of personal risk.

B.3 Ground Transport

Train travel will be booked in a class equivalent to UK standard class, buying tickets with fixed dates and times. If the applicant is in possession of a rail card, then this should be notified at the time of application for the Council to benefit from any relevant discounts.

Buses offer a cost-effective means of travel and will be considered as an option for local and long-distance travel.

Hire cars will be booked using a category sufficient for the number of passengers and luggage to be carried. The Business Services Team will make the necessary arrangements using the relevant Travel Partner. Hire cars should be considered as they can be a value for money option to meet the business need. Situations and circumstances where this should be used are where the cost of group travel by public transport is excessive, inaccessibility of the destination by public transport, personal safety, travel time and, weight of luggage.

Taxi use should be restricted to situations where personal safety, travel time, weight of luggage, inaccessibility of destination by public transport, or the cost of group travel by public transport makes a taxi journey clearly necessary.

B.4 Car Travel

The hire of cars (as referred to in the section above) and use of the Co-Wheels car club (<http://www.co-wheels.org.uk/>) scheme is usually the first and most cost-effective option.

If a private car is the most cost-effective method of ground transport the Council will pay mileage for the actual distance covered for business purposes.

It is the traveller's responsibility to ensure that the vehicle is roadworthy at all times and is taxed and has a current MOT certificate (if an MOT certificate is legally required). Travellers must also ensure that they have a valid driving license and that they have the relevant business use motor insurance in place at the time of travel. The cost of adding business use onto a personal motor insurance policy cannot be claimed by the traveller.

Mileage claims are made by a Travel and Subsistence Claim form.

Parking, congestion charges, tolls, ferries and other driving-related penalties

Reasonable expenses incurred on parking, congestion charges, tolls and ferries may be claimed in respect of journeys which qualify for the mileage payments above. Receipts or other documentary evidence should be submitted as part of the claim.

Charges for overnight parking will be paid only when subsistence expenses are payable for the night(s) in question.

Should an employee be liable for clamping or other parking / congestion charge penalty (e.g. because a meeting over runs or due to non-payment of a congestion charge) then reimbursement of the charge will not be made. Similarly, reimbursements will not be made to an employee who receives a fine or other financial penalty relating to an offence committed whilst driving on Council business (e.g. for speeding or for using a hand held mobile phone or similar device). **Employees are required to notify the Council of any such offences and penalties.**

C. DETAILED GUIDANCE FOR LIVING EXPENSES

C.1 Foreign Currency Advance Payment Application

For foreign travel, an advance payment to cover travel living expenses will normally be paid by means of a currency application in advance of travel. This will include an advance payment to cover breakfast, lunch and dinner based on HMRC recommended guidelines for the location to be visited. If meals have been booked as part of the travel arrangements or are provided by the host, then that will not be included in the currency advance payment. In addition, if it has not been possible to pay hotel costs in advance, it will include an advance payment for the hotel.

All such travel living expenses have to be receipted. The full value of the currency advance payment will require to be accounted for and any balance remaining unspent along with receipts must be returned to the Business Services Team within seven days of returning to Aberdeen. All cases of non-compliance will be referred to the relevant Chief Officer and may result in recovery of advance payments.

It is the responsibility of the traveller to notify the Business Services Team of meals (or other living expenses) supplied as part of the travel / conference arrangements

The advance payment will be based on the time the traveller is expected to be based in the foreign location based on 24-hour, 10 hour and 5-hour time periods up to the total expected time away. Calculations will be based on the scheduled time of arrival in the first country outside the United Kingdom of Great Britain (UK) and the scheduled time of departure of the route returning to the UK. Living expenses outside these times will be deemed UK travel and claimed in the normal way (see C.3. below).

The currency issued will be in the relevant local currency of the destination country. If more than one country is being visited, then this will be identified in the itinerary and a relevant split of currency will be made based on the time spent in each destination.

C.2 Foreign Currency Float

In addition to the foreign currency application, the traveller may apply for a float to meet the cost of minor travel expenses. **Floats for overseas travel must be submitted to the Chief Officer with the relevant delegated powers for approval. The full value of the Float will require to be accounted for and any balance remaining unspent must be returned to the Business Services Team within seven days of returning to Aberdeen.**

The Foreign Travel Float application should detail the itinerary of the traveller(s) and any specific minor travel expenses that are known and likely to be incurred, e.g. taxis or hospitality. In general, a sum of £25 per 24 hours and part thereof will be calculated for minor travel expenses unless there is a clear and demonstrable need to provide a greater value on any day.

The currency issued will be in the relevant local currency of the destination country. If more than one country is being visited, then this will be identified in the itinerary and a relevant split of currency will be made based on the time spent in each destination.

C.3 Travel and Subsistence Claim Form

For UK travel, living expenses will normally be paid by completion of a travel and subsistence claim form after travel has taken place. All such expenses must be receipted (in the unusual event that no receipt is available full justification / explanation must be given and accepted by the authorising manager).

Travel and subsistence claim forms may not be used for recovering travel expenses that should be booked through a Business Services Team.

Payroll will forward a copy of all foreign travel expenses claims to the Business Services Team to confirm that the claimant has not already received currency to cover the costs either through Foreign Currency Expenses, Foreign Currency Float or the Corporate Credit Card.

All Travel and Subsistence Claim Forms must be authorised by the claimant's line manager or other authorised signatory who is senior to the claimant.

C.4 Use of Corporate Credit Card

Corporate credit cards are allocated based on the business need of the postholder and will be offered to staff who have a regular business need to undertake long distance travel.

If the traveller is in possession of a corporate credit card, they may use it in lieu of the foreign currency float, the foreign currency expenses application or instead of the travel and subsistence claim form.

Corporate credit cards may not be used for recovering travel expenses that should be booked through a Business Services Team.

Credit card bills will be monitored and reconciled by the Business Services Team. Reference must be made to specific guidance on the use of corporate credit cards. Any misuse of the corporate credit card will be referred to the Chief Officer - Finance and is subject to the Council's disciplinary policies.

C.5 Inadmissible living expenses

Expenses the Council will NOT pay for:

Personal telephone calls;
Personal internet access;
Parking fines and traffic offences;
Mini-bar or in-room entertainment;
Newspapers;
Clothing or any other items that the traveller may reasonably be expected to bring from home;
Excess luggage costs, unless the traveller is required to travel with significant quantities of business materials or equipment. This should be identified at the time of booking major travel expenses so that the Council can take account of reduced rates for booking this in advance;
Laundry costs and dry-cleaning (except where the period of travel covers more than 5 days);

Membership of airline frequent flyer / loyalty schemes or similar;
Alcoholic drinks, tobacco products, personal gratuities;
Expenses the Council will NOT pay for (cont.):

Travel Insurance;
Equipment, materials or services that should be bought through the normal procurement process e.g. computers, phones.

Any claim that contains an item listed above (or similar) will require explicit approval by the relevant Chief Officer. In a travel emergency, the situation may arise where such expenditure may be appropriate.

D. MISCELLANEOUS DETAILED GUIDANCE

D.1 Entertaining and Gift Expenses

The offering and accepting of hospitality may be a legitimate expense to meet business objectives such as building international networks and undertaking business transactions. If the travel requires business entertaining or presentation of gifts, then:

Any entertainment or gifts provided must be consistent with the image and reputation of the Council as a UK public body that is subject to full public audit;

An expenses claim must be submitted with the name(s) of the beneficiaries, included any staff members in attendance. This will be held with the register of gifts and hospitality that each Chief Officer holds as per the Financial Regulations; and

The cost must be within the approved budget.

If the traveller is offered hospitality or gifts (other than small business items such as pens, folders, diaries, calendars, etc. with an estimated combined value of less than £30) while undertaking travel, then a full declaration must be made in the Register of Gifts and Hospitality.

Gifts and hospitality must not be offered or accepted in any way that could be construed as a bribe or inducement.

Working lunches or dinners can be an appropriate method of business provided that no extravagance is involved, and the occasions are infrequent (infrequent is defined as fewer than 4 times in a 12-month period). Where there is a business need for increased frequency then this should be discussed and agreed by the relevant Chief Officer and paid for from within approved budgets. Likewise, it can be reasonable for an officer to represent a Service of the Council at an external social function or event organised by outside bodies.

Gifts and hospitality should be in accordance with the Council's Financial Regulations and reference should be made to them for additional guidance.

D.2 Travel Funded by Grant Expenditure

Travel costs that are met by grant expenditure are subject to the same policy as all Council travel. The traveller should ensure that the Council maximises the income to the Council in respect of that travel and grant claims are made in a timely and effective way.

D.3 Working Hours Whilst Travelling

Staff should ensure that they comply with the Council's Working Time Policy. Relevant extracts are summarized below:

The Council's definition of working time is as follows:

- When workers are working at an office, depot, Council building, or from home as an authorised activity
- When workers are engaged in work regardless of where that work is performed

Travel time (but only within the City boundary) will count as working time except where the activity is planned (e.g. evening meetings).

The following is not classed as working time –

- Breaks when no work is done, e.g. lunch breaks.
- Travelling outside of normal working hours.
- Travel to and from work (where the employee has a fixed place of work).

In considering the cost/benefit of travel activity, officers should be mindful of the opportunity cost of time resource lost to other priority activities for staff and not just consider travelling expenses.

D.4 Monitoring of Expenditure

All major and minor travel expenses are subject to regular checks and performance monitoring information is gathered in respect of expenditure. Reports of expenditure may be presented to the Chief Officer Finance and Corporate Management Team and in general this would normally be anonymised. Attention may, however, be drawn to trip activity of high volume claimants.

From time to time the Council may be required to publish information relating to expenses claimed for instance in response to a Freedom of Information request.

Definitions

The following definitions are used in this document.

- Local travel means travel within Aberdeen City Council boundaries.
- Long-distance travel means travel outside Aberdeen City Council boundaries but within the UK.
- Foreign Travel means travel outside of the United Kingdom of Great Britain and Northern Ireland (i.e. outside Scotland, England, Wales and Northern Ireland)

Major travel expenses mean the costs of purchasing flights, train tickets, inter-city buses, car hire, visa costs and accommodation (including breakfast) that should normally be booked in advance.

Minor travel expenses mean the costs of taxis, local buses, car parking, business telephone calls and other incidental items incurred while travelling for business purposes.

Car mileage expenses – expenses paid for travel undertaken by personal vehicle.

Living expenses include the cost of meals, service charges, drinks, phone calls and similar costs. Those that can and cannot be claimed from the Council are referred to in the relevant section.

Foreign Travel Float means a sum of money provided in advance of foreign travel that enables travellers to meet minor travel expenses.

Authoriser a person with the authority to approve travel, generally this will be a budget holder and reference should be made to section 6 of the policy for further advice.

Business Services Team means a person authorised to make bookings for major travel expenses (member of the Business Support Transactions Team).

Travel Partner is one or more companies contracted to provide travel services to the Council as organised by the Business Services Team.

Long-haul flights are those flights (including necessary same-day flight connections) outside Europe.

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ABERDEEN CITY COUNCIL

COMMITTEE	Staff Governance Committee
DATE	31 January 2019
REPORT TITLE	Cluster Risk Registers
REPORT NUMBER	RES/19/165
DIRECTOR	Steve Whyte
CHIEF OFFICER	Isla Newcombe
REPORT AUTHOR	Chief Officer
TERMS OF REFERENCE	General 7.4

1. PURPOSE OF REPORT

- 1.1 To present Cluster Risk Registers in accordance with the Risk Management Framework and Committee Terms of Reference.

2. RECOMMENDATION

- 2.1 That the Committee note the Cluster Risk Register presented and the actions identified to control the risks contained therein.

3. BACKGROUND

Committee Roles and Responsibilities

- 3.1 The Audit, Risk and Scrutiny Committee is responsible for overseeing the system of risk management and for receiving assurance that the Corporate Management Team (CMT) are effectively identifying and managing risks. To this end, it reviews the Council's Corporate Risk Register annually, as well as an annual report on the system of risk management which is included in the Annual Governance Statement.

- 3.2 The Risk Management Framework states that all other committees should receive assurance on the risk management arrangements which fall within their terms of reference. This is provided through the risk registers for the relevant Cluster which falls within the remit for this Committee. This is:-

- People and Organisation

Risk Registers

- 3.3 The Corporate Risk Register captures the risks which pose the most significant threat to the achievement of the Council's organisational outcomes and have the potential to cause failure of service delivery.

- 3.4 The previous “Directorate” risk registers have been replaced with “Cluster” Risk Registers. These are set out in appendix A and reflect the risks which may prevent each Cluster area from delivering on strategic outcomes.
- 3.5 Chief Officers and Directors have sought to ensure that Cluster Risk Registers meet the following requirements in terms of presentation and content:
1. Reflect the reallocation of responsibilities within the revised organisational structure
 2. Include SMART (Specific, Measurable, Assignable, Realistic, Time-measurable) actions to ensure that risk controls are fully effective;
 3. Link to organisational outcomes as set out in the LOIP and future refreshed version.
- 3.6 Over the coming twelve months, further work will be done to:-
- ensure that actions are SMART and capable of becoming fully effective within a specified timescale
 - identify links between Cluster areas, both in terms of controls and impacts, and
 - identify gaps through assurance mapping.

The registers will also aim to demonstrate clear linkages with the Internal Audit Plan to ensure a risk-based approach to the Council’s audit programme.

Risk Scoring Process

- 3.7 In order to apply an assessment rating (score) to a risk, the Council implements a 4x6 risk matrix.
- 3.8 The 4 scale represents the impact of a risk and the 6 scale represents likelihood of a risk event occurring.

Impact

Score

Very Serious	4	4	8	12	16	20	24
Serious	3	3	6	9	12	15	18
Material	2	2	4	6	8	10	12
Negligible	1	1	2	3	4	5	6
Score		1	2	3	4	5	6

Likelihood

Very High
High
Significant
Low
Very Low
Almost Impossible

3.9 Risk registers include an assessment of both current and residual risks. Current risk represents the risk if no controls are in place. Residual risk represents the remaining risk if the controls identified are effective.

3.10 The assessment of the risk includes establishing the potential impacts (consequences) of a risk as well as the likelihood of occurrence. The two multipliers produce the score and assessed level of risk.

4. FINANCIAL IMPLICATIONS

4.1 There are no direct financial implications arising from the recommendations of this report. The report deals with risk to the achievement of strategic outcomes and this process serves to identify controls and assurances that finances are being properly managed.

5. LEGAL IMPLICATIONS

5.1 There are no direct legal implications arising from the recommendations of this report. Cluster Risk Registers serve to manage many risks with implications for the legal position and statutory responsibilities of the Council.

6. MANAGEMENT OF RISK

6.1 The Committee is provided with assurance from the Cluster Risk Registers presented that there are effective controls identified to manage the risks which would present achievement of strategic outcomes relevant to its terms of reference. There are no risks arising from the recommendations in the report.

7. OUTCOMES

7.1 Each risk on the Cluster Risk Registers is aligned to one or more of the themes within Local Outcome Improvement Plan.

Design Principles of Target Operating Model	
	Impact of Report
Organisational Design	The completion of Cluster Risk Registers aligned to the interim transitional structure supports the principles of organisational design.
Governance	Reporting to Committees on the Corporate Risk Register and Cluster Risk Registers allows members to scrutinise the system of risk management to help ensure its effectiveness. The registers also provide a tool by which to better manage achievement of our strategic outcomes.
Process Design	In reviewing our risk management processes, there is an opportunity to make sure that the risk to the Council's achievement of the strategic objectives, including those which external organisations and

	other stakeholders contribute to, is appropriately managed and mitigated.
Technology	It is anticipated that risk registers will be updated using digital methods in the medium term and in the longer term they will become integrated within a wider Assurance Framework.
Partnerships and Alliances	Risks to the delivery of organisational objectives can at times be related to arms-length external organisations. These will be reflected in the appropriate risk register(s). Furthermore, risk is overseen by the Assurance Hub which reports to the Audit, Risk and Scrutiny Committee on a regular basis.

8. IMPACT ASSESSMENTS

Assessment	Outcome
Equality & Human Rights Impact Assessment	Full EHRIA not required
Privacy Impact Assessment	Not required
Duty of Due Regard / Fairer Scotland Duty	Not applicable

9. BACKGROUND PAPERS

None

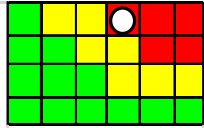
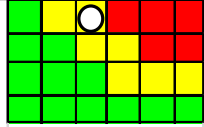
10. APPENDICES

Appendix A – People and Organisation Risk Register

11. REPORT AUTHOR CONTACT DETAILS

Isla Newcombe
 Chief Officer
inewcombe@aberdeencity.gov.uk
 Tel: 01224 523843

Appendix A
People and Organisation Cluster

Code				
Definition	Risk to delivery of key services in the event of failures of systems, processes or capabilities			
Potential Impact	Causes	Control Effectiveness		Current Risk Assessment
		Control	Control Assessment	
<ul style="list-style-type: none"> - Failure to deliver advice and guidance to managers - Breakdown in industrial relations - Mental health, wellbeing and engagement of employees - Legal risk if unable to provide correct guidance to managers - Increased demand on the cluster is not sustainable 	<ul style="list-style-type: none"> - System failure - Lack of robust control measures, e.g. Business Continuity plans - Not maintaining skillset or capabilities - Industrial action 	Implementation of robust Business Continuity Plans	Partially Effective	 <p>Very Serious Significant</p>
		Regular meetings and collaborative working with TUs	Partially Effective	
		Cluster demand management	Partially Effective	
		Cluster workforce plan	Partially Effective	
Risk Owner	Isla Newcombe	Risk Manager		Residual Risk Assessment
Latest Note				 <p>Very serious Low</p>

Control Actions

Action 1		Progress	Original Due Date	Amended Due Date
Review of existing Business Continuity Plans		0%	June 2019	
Description	Undertake review and improvement of existing business continuity plans, ensuring the inclusion of all new business areas aligned to People and Organisation through the implementation of the interim structure.			
Update				
Assigned To	Neil Yacamini			

Action 2		Progress	Original Due Date	Amended Due Date
Hold regular TU meetings and undertake collaborative working		80%	February 2019	
Description	Weekly Director's meetings and Monthly CEO meetings			
Update	Meetings have been taking place for the past year and are seen to be highly effective at establishing and maintaining positive working relationships. This will continue into 2019 with a review of the regularity of the meetings and collaborative working increased.			
Assigned To	Isla Newcombe			

Action 3		Progress	Original Due Date	Amended Due Date
Demand Management		10%	March 2020	
Description	Reduce demand on reactive elements of the cluster through cultural alignment, workforce planning and development and communications and engagement with staff and digital transformation			
Update	Work engaging on the development of behavioural principles is underway, these will allow for a review and re-alignment of all people processes and policies. Work to be done on internal communications and engagement. Level 1 and 2 digitisation should take place in 2019 as well as the roll out of CoreHR our new HCM solution.			
Assigned To	Isla Newcombe			

Action 4		Progress	Original Due Date	Amended Due Date
Cluster workforce plan			April 2019	
Description	Development of a cluster workforce plan for People and Organisation which outlines the development, succession and ways of working needed in order to effectively deliver services			
Update				
Assigned To	Lindsay MacInnes			

Assurance Actions

Action 5		Progress	Original Due Date	Amended Due Date
Assess effectiveness of existing and new Business Continuity Plans			October 2019	
Description	Implement an annual test plan to assess the effectiveness of all Business Continuity Plans.			
Update				
Assigned To	Neil Yacamini			

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ABERDEEN CITY COUNCIL

COMMITTEE	Staff Governance
DATE	31 January 2019
REPORT TITLE	Employee Mental Health Action Plan
REPORT NUMBER	RES/19/160
DIRECTOR	Steven Whyte
CHIEF OFFICER	Isla Newcombe
REPORT AUTHOR	Mary Agnew and Keith Tennant
TERMS OF REFERENCE	Purpose of Committee 1 Remit of Committee 1.3

1. PURPOSE OF REPORT

- 1.1 Following a report to Committee of 29 June 2018, the purpose of this report is to provide relevant data in relation to employee mental health trends and to request approval for the attached action plan to address and improve employee mental health.

2. RECOMMENDATIONS

That the Committee: -

- 2.1 Notes the relevant data contained in this report in relation to employee mental health trends;
- 2.2 Provides authority to the Chief Officer - OD to proceed to implement the attached areas for action shown at Appendix 1, which are designed to address and improve employee mental health; and
- 2.3 Notes that progress on the implementation of the actions will be reported to Committee in approximately a year's time.

3. BACKGROUND

- 3.1 A report to the Staff Governance Committee of 29 June 2018 made Committee aware of a matter raised by Unison, through the Director of Resources, which was a request to compile an employment related mental health action plan.
- 3.2 The report indicated that it would be necessary to first identify relevant data to inform on the extent of any employee mental health issues and whether they were work related.
- 3.3 Once relevant data was collected this would help to identify whether an action plan was required to address employee mental health.

3.4 Data was gathered covering a two-year period on levels of sickness absence related to psychological illness; referrals to the Council's occupational health service for mental health issues; and levels of self-referrals to the Council's employee assistance/counselling service for stress/anxiety etc.

3.5 The data gathered is shown below: -

3.5.1 Percentage of the Council's sickness absence due to 'psychological' reasons.

2016/17 8.3%

2017/18 8.9%

3.5.2 The five main reasons for sickness absence, in terms of average days lost per employee, are shown in the table below: -

Reason	Average Days Lost Per Employee					
	May 2018	June 2018	July 2018	August 2018	September 2018	October 2018
Psychological	2.9	2.9	2.9	2.8	2.7	2.7
Musculoskeletal	2.7	2.7	2.8	2.8	2.9	2.9
Respiratory	1.8	1.7	1.7	1.7	1.6	1.6
Gastrointestinal	1.2	1.2	1.3	1.3	1.3	1.4
Neurological	0.7	0.7	0.7	0.8	0.7	0.7

3.5.3 This shows that although psychological reasons are amongst the highest cause of absence, there has been a reduction over the course of 2018. Nevertheless, this is an important area to focus additional improvement efforts.

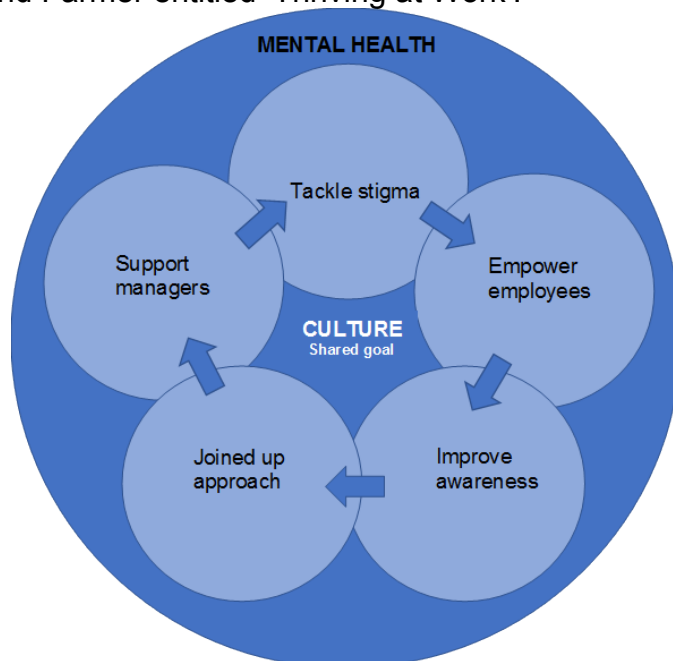
3.5.4 Benchmarking was also carried out with other Scottish Local Authorities and it was found that the percentage of sickness absence due to 'psychological' reasons in the benchmark group ranged from 7.1 to 31.0%. Further contact will be made with the benchmark group to identify any best practices in relation to mental health in the workplace which may inform our activity moving forwards. In addition, joint working opportunities will be explored with mental health charities in the city.

3.5.5 Referrals to the Council's Occupational Health Service for reason of Stress, Anxiety, Depression and Mental and Behavioural Disorders:

2016/17 The quarterly reports indicate mental health related referrals as the highest reason in all four quarters comprising 30%, 31%, 31% and 39%, respectively, of total referrals. Annual data was not available for this period due to issues with the occupational health provider's portal.

- 2017/18 135 referrals (23% of total referrals) – This indicates it was again the highest reason for referral.
- 3.5.6 Up until now, the Occupational Health provider has not been able to give this information broken down for work and non-work related, however, this has been requested going forward.
- 3.5.7 Although the action plan aims to help reduce mental health related absence and support speedy returns to work, it should not be seen that a reduction in referrals is a target. Instead, promotion of the service and increased referrals may be a sign of reducing stigma, improving manager effectiveness and supporting self-care.
- 3.5.8 Self-referrals to the Employee Assistance/Counselling Service.
- 2016/17 Of the ‘Work Related Issues’ 46% of referrals related to Stress/Anxiety/Work Load (i.e. 22 out of 48 referrals)
- Of the ‘Non-Work-Related Issues’ 72% of referrals related to Stress/Anxiety/Depression/Anger (i.e. 63 out of 88 referrals)
- 2017/18 Of the ‘Work Related Issues’ 58% of referrals related to Stress/Anxiety/Work Load (i.e. 18 out of 31 referrals)
- Of the ‘Non-Work-Related Issues’ 62% of referrals related to Stress/Anxiety/Depression/Anger (i.e. 58 out of 94 referrals)
- 3.6 From the above data, it is evident that even when seen in context, a significant proportion of the Council’s absence was for a ‘psychological’ related reason in the last two financial years. Also, the level of referrals to the occupational health service for a mental health related reason were significant; as were the self-referrals to the employee counselling service.
- 3.7 Moreover, figures are widely published advising that one in four of us will experience mental ill health at some point in our lives. Many mental health problems will be preventable, and almost all are treatable.
- 3.8 Furthermore, figures produced by Aberdeen Health and Social Care Partnership highlight in 2016/17 that 35,342 people in Aberdeen City were prescribed drugs for anxiety, depression or psychosis. This is equivalent to 15.4% of the population. The proportion has increased significantly in recent years from 12.5% in 2009/10 to 15.4% in 2016/17.
- 3.9 Based on this data, it is considered that putting in place an action plan at this juncture would be appropriate to help ensure that employee mental health issues are addressed in a holistic way, to contribute to a reduction in ‘psychological’ related absence and to develop a culture of openness and support.

- 3.10 As mentioned in the report of 29 June 2018, the Council does already have in place a range of support measures to assist employees experiencing mental health problems, as well as preventative measures, which are hoped to be contributing to the slight decrease in the number of days of absence due to psychological reasons over 2017/18. These actions will therefore be continued, with other actions identified to augment what is already being undertaken.
- 3.11 In addition, an aspiration to improve engagement in relation to mental health in the workplace was posted on the internal 'Ideas Hub' by a member of staff. A working group has since been formed which includes staff members with a passion and interest in improving this area alongside members of the People and Organisation team. The proposed action areas have been developed by this working group and with feedback from the trade unions.
- 3.12 To build on what is already in place, a Mental Health Action Plan (attached at Appendix 1), focusing on improvements, has been compiled in consultation with staff representatives and trades unions, which will accord with the forthcoming Wellbeing Plan, currently being prepared for consideration by the Staff Governance Committee in March 2019.
- 3.13 The draft Mental Health Action Plan shows organisational commitment and intent on key theme areas (as per the diagram below) to further support a mentally healthy workplace. It is based on good practice as outlined in the links under 'background papers' at 9 below; including the content of Acas guidance and the independent review of mental health and employers undertaken by Stevenson and Farmer entitled 'Thriving at Work'.



- 3.14 The plan will be owned and monitored by People and Organisation, who will ensure that the actions are progressed; with the intention being that it will be ongoing and refreshed annually as actions are completed and new ones added. On approval of the plan, appropriate timescales for completion of the actions will be identified and officers allocated to be responsible for carrying them out. This will be in accordance with available resources.
- 3.15 The data in relation to employee mental health issues will also continue to be provided to the Staff Governance Committee for monitoring to determine the effectiveness of the measures in the plan in addressing and improving employee mental health. Data will continue to be considered by People and Organisation once the plan is in place to inform on its future development. The trades unions and employees will be involved in the delivery of the action plan.

4. FINANCIAL IMPLICATIONS

- 4.1 Mental health and wellbeing is increasingly being seen as a core component of service delivery, linked to both staff retention and customer satisfaction. There is the potential to reduce direct and indirect costs in relation to sickness absence, low morale/engagement and increased staff turnover by supporting and promoting positive mental health. This can have a significant impact on Function / Cluster budgets.
- 4.2 Long-term absence is costly. There are savings to be realised through early intervention to support employees in the workplace. The longer an employee is off work the more challenging it becomes to manage mental health problems and less likely that they will return to work. There is mutual benefit, to both the Council and employees, if we can proactively support employees in the workplace by providing a mentally healthy environment.
- 4.3 The costs of the Employee Mental Health Action Plan will be met through the existing corporate training budget and/or through external grants (which are currently being explored).

5. LEGAL IMPLICATIONS

- 5.1 Under the Health & Safety at Work etc. Act 1974 there is a legal requirement to ensure the health, safety and welfare at work of our employees and assess and address all risks that might cause harm. It may not be possible to prevent all causes of mental health, although as an employer steps can be taken to reduce work-related causes.
- 5.2 Where an employee's mental ill health amounts to a disability, in terms of the Equality Act 2010, reasonable adjustments must be considered to remove any substantial disadvantage faced by the employee who is disabled compared with non-disabled employees. The definition of a "disability" under the Equality Act 2010 includes any physical or mental impairment which has "...a substantial and long-term adverse effect on... [a person's] ...ability to carry out normal day-to-day activities". The definition is therefore sufficiently wide to include a

number of relatively common mental health issues which are long term in nature.

- 5.3 Failure to comply with legislation in ensuring a safe and healthy workplace has the potential to result in investigation and potential enforcement action by the Health and Safety Executive (HSE). It is noted that in many cases non-compliance with health and safety laws amounts to a criminal offence for which the offender can be prosecuted. Enforcement action includes fines, imprisonment and remedial orders. Where the Council is investigated by the HSE the HSE will charge the Council for the time spent by their staff conducting the investigation where a material breach is found notwithstanding the imposition or otherwise of a sanction. Therefore, even where no fine is imposed there may still be a financial cost to the Council if the HSE conducts an investigation. There is also the possibility of employee civil claims, which are more likely to succeed following a successful HSE prosecution. Enforcement action or an employee claim is likely to attract adverse publicity in the media and therefore presents a reputational risk to the Council. Equality breaches can also result in potential claims and employment tribunal action.

6. MANAGEMENT OF RISK

	Risk	Low (L), Medium (M), High (H)	Mitigation
Financial	If no action is taken, then there is the potential to incur direct and indirect costs.	M	Implementation of an employee Mental Health Action Plan will provide a holistic approach to improving employee mental health. Such a proactive approach to improving awareness and supporting employees with reasonable adjustments will reduce direct and indirect costs and improve compliance with legislation.
Legal	If no action is taken, then there is limited mitigation to potential challenge and subsequent claims. Poor management of mental health has the potential to lead to investigation, enforcement action	M	As above.

	(Criminal and Civil), fines and claims.		
Employee	If no action is taken to support employee mental health and address trends, then the organisation may incur both direct and indirect costs.	M	As above. Supported employees are more likely to be able to stay in work or return to work after a period of absence, reducing long term absence. Benefits to employees include improved quality of workplace experience, improved wellbeing, employees feeling more valued, increased morale and engagement. This should help to reduce the incidence of psychological related sickness absence, the number of occupational health referrals and use of the employee counselling service.
Customer	If no action is taken to support a mentally healthy workplace this will result in reduced quality of service delivery owing to the lack of resource.	M	Implementation of a Mental Health Action Plan will improve service delivery owing to happier, healthier and more engaged employees.
Environment	There is no environmental risk.	N/A	N/A
Technology	There is no technological risk.	N/A	N/A
Reputational	If no action is taken to support a mentally healthy workplace there is a risk of the organisation not being seen as an employer of choice and having recruitment and retention issues.	M	Implementation of a Mental Health Action Plan demonstrates a commitment by the employer in providing a mentally healthy workplace.

	Any enforcement action taken against the Council or claims by employees are likely to attract adverse media attention.		
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7. OUTCOMES

Local Outcome Improvement Plan Themes	
	Impact of Report
Prosperous Economy	Having a Mental Health Action Plan in place should assist with employee morale and engagement demonstrating the Council as a caring employer applying good employment practices in relation to equality and diversity. With levels of employee morale and engagement linked to productivity and resource efficiency, having a plan in place should assist the Council in delivering services as cost effectively as it can. Given the role that the Council plays in fostering an environment where the local economy can thrive, having an engaged workforce delivering efficient cost-effective services is a key element of achieving this.
Prosperous People	<p>As an organisation the Council considers the health of its workforce to be paramount and a key element in service delivery. This focus is important in having an engaged workforce and all the additional benefits associated with this.</p> <p>A mentally healthy workplace can support employees which can have a positive ripple effect in the local community. This should substantially reduce the negative impact of mental health on employee productivity, efficiency and overall behaviour at work resulting in better service delivery.</p>
Prosperous Place	The Council requires to keep employees healthy and safe whilst in work and manage any risks in the workplace that are likely to give rise to work-related ill health. Through a proactive approach to mental health, this will create a positive workplace and a healthier workforce, which will also protect and enhance our image and reputation as a good employer. Any detrimental effects caused through poor health of employees impacts on the provision of public services. An engaged workforce is best-

	placed to provide good service delivery to the residents of the city. This would result in good public opinion, which would benefit the city, which can extend outwardly to visitors and businesses seeking to inwardly invest. Through proactive intervention in relation to employee mental health this can have a positive impact on the local economy and reduce the drain on other public-sector services.
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Design Principles of Target Operating Model	
	Impact of Report
Workforce	This report links to the 'Workforce' design principle in that having an employee mental health action plan in place will assist with the promotion of equality in the workplace; with many mental health issues being classed as a disability. The plan should assist in the retention of disabled employees, helping to ensure that the Council has a diverse workforce.
Partnerships and Alliances	Approval of the recommendation would assist in reducing the risk of lost resource through for example absence, enforcement action and potential claims. Early address of issues has the potential to reduce impact on employees and the wider community reducing demands on other public-sector organisations.

8. IMPACT ASSESSMENTS

Assessment	Outcome
Equality & Human Rights Impact Assessment	An Equality & Human Rights Impact Assessment has been undertaken and has not identified any negative implications.
Privacy Impact Assessment	Not required
Duty of Due Regard / Fairer Scotland Duty	Not applicable

9. BACKGROUND PAPERS

Occupational Health Provider annual reports to Committee 2016-17 and 2017-18.

Employee Assistance Service annual reports to Committee 2016-17 and 2017-18.

ACAS Framework for positive mental health
http://www.acas.org.uk/index.aspx?articleid=1900&gclid=EAlalQobChMIuNDth6-m3wIVzrvtCh2E7QZyEAAyASAAEgLEHPD_BwE

Health and Safety Executive (HSE) page <http://www.hse.gov.uk/stress/mental-health.htm>

‘Thriving at Work’ - Stevenson/Farmer independent review of mental health and employers
https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/658145/thriving-at-work-stevenson-farmer-review.pdf

ACAS framework for positive mental health
<http://www.acas.org.uk/media/pdf/r/i/Acas-framework-for-positive-mental-health-at-work.pdf>

ACAS research paper
http://www.acas.org.uk/media/pdf/2/p/Mental_health_report_11_Nov_2016.pdf

ACAS guidance
http://www.acas.org.uk/media/pdf/s/j/Promoting_Mental_Health_Nov.pdf

Note: The content of the attached Employee Mental Health Action Plan is based on the documents under the above links; in particular the Stevenson/Farmer review ‘Thriving at Work’. The circle diagram under 3.11 above contains elements within these papers.

10. APPENDICES

Appendix 1 – Employee Mental Health Action Plan

11. REPORT AUTHOR CONTACT DETAILS

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Theme	Outcome	Improvement action areas
1.Tackle stigma	Visible commitment to positive mental health	<ul style="list-style-type: none"> a. Sign up to a Mental Health Charter/Pledge b. Participate in national proactive awareness raising campaigns through a calendar of events c. Include reference to creating a mentally healthy workplace in new Council Capability Framework d. Conduct focus groups with staff on the content and the delivery of this action plan
	Managers have mental health rapport with employees	<ul style="list-style-type: none"> a. Introduce a Standard Management objective for Performance Review and Development b. Open discussion of mental health and support to be held wherever possible and appropriate e.g. 1-2-1s, team meetings and induction training. Chief Officers to role model an open approach.
	Employees are self-aware and ask for help when needed	<ul style="list-style-type: none"> a. Raise mental health awareness through development of employee training and awareness raising sessions which include case stories from members of staff b. Use of “buddy system” (out with management) and link to national online support schemes c. Employees encouraged to share experiences, to access support and highlight improvement areas through focus groups and online discussion forums
2.Empower employees	The organisation understands the impact personal issues can have on mental wellbeing	<ul style="list-style-type: none"> a. Review and improve available data relating to mental health and psychological reasons for absence to understand and act on improved information b. Develop and share personal stories of those impacted by mental health issues with managers
	Managers can handle difficult conversations effectively	<ul style="list-style-type: none"> a. Upskill managers in having sensitive conversations through development and promotion of training and awareness sessions and communications b. Improve manager skills in supporting people through change
	Employees can identify personal stress triggers	<ul style="list-style-type: none"> a. Through training, introduce employees to positive coping strategies, to recognise signs in themselves and others b. Provide mechanisms for peer support to colleagues c. Create a safe environment/physical space, which employees can access to promote self-care during the working day
3.Improve awareness	Raise the profile of mental health issues and wellbeing in	<ul style="list-style-type: none"> a. Focus on awareness raising and improved access to wellbeing initiatives and mental health support in remote locations, i.e. where computer access is limited. Develop a

	the workplace.	<p>communications plan for Functions/Clusters to ensure all staff groups are equally covered including all non-networked groups e.g. teachers</p> <ul style="list-style-type: none"> b. Review Mental Health and Wellbeing in the Workplace Policy and develop Guidance (based on mental health core standards) c. Develop a communications plan to accompany the calendar of events and mental health pledge d. Improve disclosure by staff with mental health issues by developing options for employees to disclose in a way they feel comfortable
	Managers are informed and open to conversations with staff	<ul style="list-style-type: none"> a. Promote effective people management through the development of manager behavioural standards b. Promote the completion and application of the HSE Management Behaviours questionnaire
	Employees look after their own wellbeing	<ul style="list-style-type: none"> a. Maintain personal wellbeing (physical and mental) and build personal resilience through training and calendar of events and through continued access to self-care wellbeing initiatives and increased promotion of health-related employee benefits b. Employees share details of mental health experiences, in ways they are comfortable with, as part of the calendar of events e.g. this could be through sharing anonymously via a blog
4. Joined up approach	Organisation tackles the causes of workplace stress	<ul style="list-style-type: none"> a. Develop a wellbeing plan (presented to SGC March 2019) to show holistic approach and reference mental health action plan b. Improve access and use of data relating to causes of psychological absence, improved benchmarking and learning from others c. Improve the consistency of completion of Quality of Working Lives risk assessments, in particular following Return to Work Discussions, through promotion, management training and joint working with the Health and Safety team (attach to any OHP referral) d. Explore triggers of stress which may occur through change or people processes and identify improvement actions to reduce stress
	Plan work with “people in mind”	<ul style="list-style-type: none"> a. Explore the use of Wellness Action Plans / ALISS
	Employees take notice and support colleagues	<ul style="list-style-type: none"> a. Development of a culture of peer support through the culture change programme b. Development of a buddy programme for staff and put in place on an ongoing basis c. Explore possibility of employees having an alternative person to speak to rather than own line manager. Also explore the potential of having an advocate for those

		employees who may struggle to express how they feel
5.Support managers	The organisation provides support and trains managers to identify, understand and address mental health factors in the workplace.	<ul style="list-style-type: none"> a. Develop mandatory online training for managers in supporting mental health in the workplace b. Train managers as Mental Health First Aiders in the workplace c. Upskill managers through additional development and awareness sessions, including peer support. Also, to ensure sharing of knowledge and experience between managers
	Employees engage with line managers	<ul style="list-style-type: none"> a. Employees encouraged to share experiences, to access support and highlight improvement areas via engagement activities promoted through line managers

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ABERDEEN CITY COUNCIL

COMMITTEE	Staff Governance
DATE	31 January 2019
REPORT TITLE	Sickness Absence update
REPORT NUMBER	RES/19/051
DIRECTOR	Steve Whyte
CHIEF OFFICER	Isla Newcombe
REPORT AUTHOR	David Forman
TERMS OF REFERENCE	4

1. PURPOSE OF REPORT

The report outlines the current sickness rates across the Council and suggested improvement activities.

2. RECOMMENDATIONS

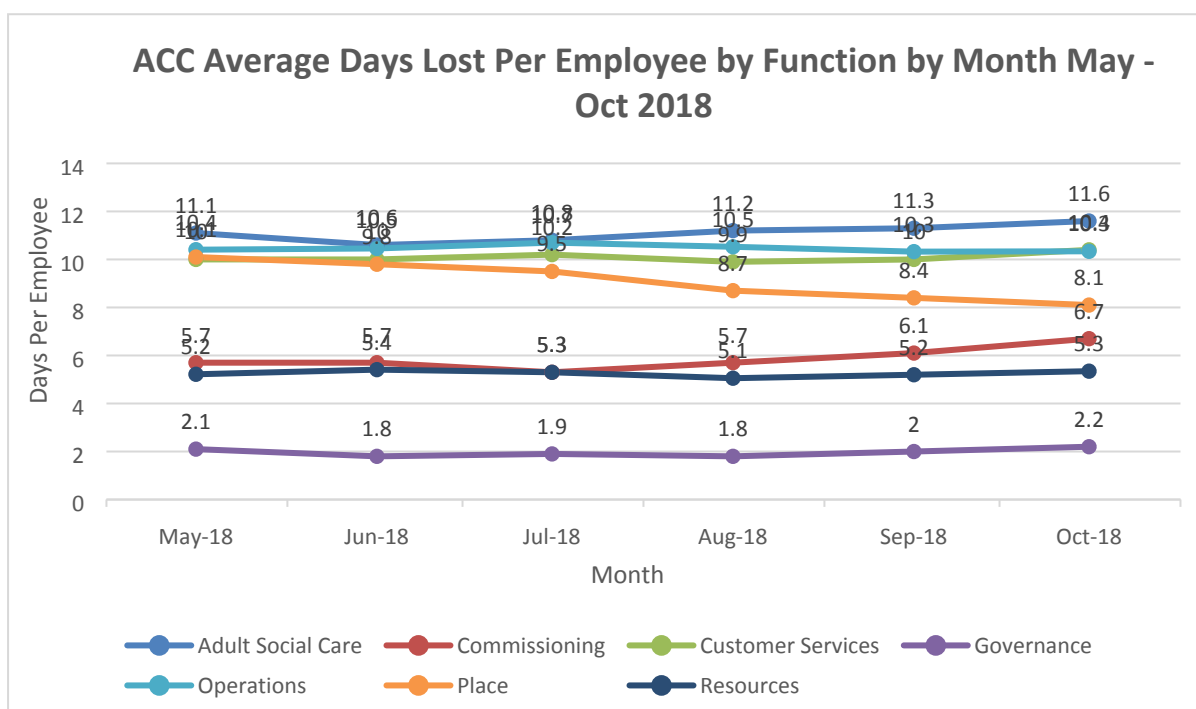
That the Committee :-

- 2.1 Note the sickness rates over the past 6 months; and
- 2.2 Endorse the approaches for reducing sickness absence across the Council.

3. BACKGROUND

- 3.1 This report outlines absence information for the period May 2018 to October 2018 and proposes actions to more closely manage absence with the aim of making improvements.
- 3.2 Overall, the absence rate for the Council reduced by 0.08% over the reporting period May – October 2018. That is, in October 2018 the absence rate was 0.08% less than in May 2018. It can be seen in the graph below that over the past 6 months the average days lost per employee in 2 out of 7 functions have improved significantly, whilst 5 out of 7 have seen worsening figures. For example, the Place function saw a reduction in its absence rate of 19.8% in the reporting period. While the Commissioning function experienced a 17.5% increase in its average days lost per employee, due to the relatively low numbers of employees in this function the actual impact on the total for the Council has been minimal.

Sickness Rates over the past 6 months (change graph)



3.3 The tables shown below detail the breakdown of short-term and long-term absence across the Function structure in terms of average days absent per employee.

Services	Average Days Absent Per Employee					
	May 2018		June 2018		July 2018	
	Short-Term	Long-Term	Short-Term	Long-Term	Short-Term	Long-Term
Adult Social Care	5.2	5.9	4.9	5.7	4.9	5.8
Commissioning	2.9	2.8	2.7	3	2.6	2.7
Customer Services	4	6	4.1	5.9	4.1	6.1
Governance	1.9	0.2	1.8	0	1.8	0.1
Operations	3.9	6.5	4	6.5	4.0	6.8
Place	2.9	7.1	2.8	7	2.9	6.6
Resources	2.7	2.5	3	2.5	3.0	2.4
Services	Average Days Absent Per Employee					
	August 2018		September 2018		October 2018	
	Short-Term	Long-Term	Short-Term	Long-Term	Short-Term	Long-Term
Adult Social Care	4.9	6.2	4.9	6.5	4.9	6.8
Commissioning	2.9	2.9	2.7	3.4	2.9	3.9
Customer Services	4.1	5.8	4	6	4.1	6.2
Governance	1.7	0.2	1.9	0.2	1.7	0.6
Operations	3.9	6.7	3.9	6.4	3.8	6.5
Place	2.8	5.9	2.8	5.6	3	5.1

Resources	2.8	2.2	2.7	2.5	2.7	2.7
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3.4 When looking at the split between short-term and long-term absence, we find that all Functions, bar Place, have shown an increase in the rate of long-term absence over the reporting period. Given the reductions in the short-term rate for many Functions, it is anticipated that some of this reduction can be attributed to employees moving from short to long term absence.

3.5 The five main reasons for sickness absence, in terms of average days absent per employee, are shown in the table below:-

Reason	Average Days Absent Per Employee					
	May 2018	June 2018	July 2018	August 2018	September 2018	October 2018
Psychological	2.9	2.9	2.9	2.8	2.7	2.7
Musculoskeletal	2.7	2.7	2.8	2.8	2.9	2.9
Respiratory	1.8	1.7	1.7	1.7	1.6	1.6
Gastrointestinal	1.2	1.2	1.3	1.3	1.3	1.4
Neurological	0.7	0.7	0.7	0.8	0.7	0.7

There has been an increase in days absent per employee of 17% for Gastrointestinal and 7% for Musculoskeletal reasons in the reporting period. There has been a reduction in days absent per employee for Psychological and Respiratory reasons in the reporting period by 7% and 11% respectively. From the table we can see that the top two reasons for absence in the Council are Psychological and Musculoskeletal. As such, a series of actions to specifically address these absence types are detailed in the table below.

3.6 While the People and Organisation cluster will continue to measure and monitor the reasons for and instances of sickness absence on a monthly basis, in order to manage sickness effectively managers must apply the Maximising Attendance policy, until the end of 2018, with the Supporting Attendance and Wellbeing policy effective thereafter, as approved by SGC on the 1st November 2018. As such, the Council should to ensure that the following actions continue in line with absence policy and guidance –

Issue	Action	Owner	Measure	Supporting Actions
Psychological Absence	Promote and use Quality of Working Lives stress risk assessments to reduce stress in the workplace	Health and Safety	Number of risk assessments	Provide the Corporate Health and Safety team with relevant data to enable targeted interventions.
Psychological Absence	To undertake the range of activities relating to mental health as presented to the Staff	People and Organisation	Days absent per employee due to	To be detailed in the Employee Mental health Action Plan report

	Governance Committee as a separate report on this date		Psychological conditions Number of referrals to Occupational Health due to Psychological conditions Number of self-referrals to Employee Assistance Service due to Psychological conditions	being reported to the Staff Governance Committee
Musculoskeletal absence	Promote and use manual handling risk assessments to help reduce absence related to musculoskeletal issues	Health and Safety	Number of risk assessments	Provide the Corporate Health and Safety team with relevant data to enable targeted interventions.
Musculoskeletal absence	DSE assessments	All managers	Percentage of completed DSE assessments	People and Organisation to work in conjunction with corporate Health and Safety team to identify areas where DSE assessments are required and to track the completion rate of these.
Supporting Employees with absence	People and Organisation to work with Clusters on a monthly basis to ensure long term sickness is being actively managed and highlight measures such as physiotherapy, the workplace chaplaincy service which is provided by the City Chaplain and the "Time for Talking" Counselling	People and Organisation	Monthly monitoring and reporting of organisational absence statistics. Monitoring of uptake of support measures offered by the Council to address issues	Measure monthly on an ongoing basis Measure monthly on an ongoing basis

	Service which are available for employees		that may lead to employee absence. Monitoring of uptake of support measures offered by the Council to reduce the length of time an employee is absent from work	Measure monthly on an ongoing basis
Policy compliance	Timely completion of online absence recording	All managers	YourHR - time to complete online processes	Measure monthly on an ongoing basis
Policy compliance	Return to work meetings are held with employees on their return from a period of absence as soon as possible	All managers	YourHR - time to complete online processes	Use YourHR reporting functionality to identify areas of the organisation having issues completing return to work interviews promptly and offer support to speed up the process.
Policy compliance	Review meetings when employees hit sickness triggers should continue to be arranged and held	All managers	YourHR - time to complete online processes	Use YourHR reporting functionality to identify areas of the organisation having issues arranging absence review meetings, gain understanding as to why this is and then provide support to clusters based on this information.
Policy compliance	Continue to maintain contact with employees on long term absence	All managers	Managers log of employee contacts	Provision of trigger reports to clusters indicating which employees are on long term sickness absence

Occupational Health	Employees absent with underlying health problems continue to be referred to Occupational Health	All managers	Number of OH referrals.	People and Organisation to monitor and report on Occupational Health activity.
Organisational Reputation	Benchmarking of the Council's absence statistics against other Scottish Local Authorities	People and Organisation	Position of the Council in the Scottish Local Authority rank order	Compare Aberdeen City Council figure against other Scottish Local Authorities upon publication by the Improvement Service.
Gastrointestinal absence	Promotion of universal infection control toolbox	Health and Wellbeing Adviser	Number of comms activities	Health and Wellbeing Adviser to evaluate effectiveness of universal infection control toolbox and make improvements based on evidence.
Employee Good Health Group (EGHG)	Review of (EGHG) attendees to ensure all Functions are represented.	Health and Wellbeing Adviser	Percentage of Functions represented	Health and Wellbeing Adviser to utilise communications channels to ensure all Functions are represented on the Employee Good Health Group

3.7 In addition to the approaches above there are a number of Health and wellbeing activities which are already being utilised to support employees in the workplace. Those that are relevant to musculoskeletal include –

- **Pilates, Yoga, Tai Chi** - These exercise classes are self-funded by participants and have been running successful for over 12 months. The classes work on improving posture, mobility and flexibility of the spine which helps to reduce musculoskeletal aches and pain.
- **Spinal Care Workshop and Spinal Screenings** – This was delivered by Aberdeen Chiropractor Clinic and provided an overview of the spine, how to care for your spine and good postural practices. The uptake of

this pitstop was good with a significant number of the available spaces booked up. In May 2018 there were 20 available slots with 20 attendees and in September 2018 there were 20 available slots with 12 attendees. Due to the high demand for this session we have arranged for more sessions to take place next yet.

- **Onsite Chiropractic Clinic** - Following previous successful Spinal Care workshops, an onsite clinic once a month was planned so that employees could take advantage of the discount on offer.
- **Chair Based Yoga** - These sessions were chosen so that less able-bodied employees could join in with workplace exercise. The sessions are great for anyone who suffers for with musculoskeletal pain and for employees that spend all day at their desk. The classes give employees exercises they can do at their desks so keep then active at work.

Those that are relevant to Mental Health and Psychological support are -

- **Alternative Therapy Sessions** – sessions are offered to employees at a negotiated discounted rate, for employees to unwind physically and mentally during their working day as well as experience a service which they may not otherwise consider outside of work. The discounted therapy sessions and have been extended to meet employee demand.

Those that are relevant to Malignancy are -

- **Pitstop: Prostate Scotland** - The aim of the session was to provide information and to increase awareness of prostate disease and prostate cancer. The session was delivered in various areas that have a predominantly male workforce. The uptake was generally good particularly for the janitors and groundsmen.

The forthcoming programme for these activities is shown in appendix A.

4. FINANCIAL IMPLICATIONS

- 4.1 There are no financial implications arising directly from this report. The main implications arising from sickness absence are when alternative resources are required for cover purposes, and any corresponding impact on Council budgets will be reported within the quarterly Council Financial Performance report .

5. LEGAL IMPLICATIONS

- 5.1 There are no direct legal implications arising from the recommendations of this report.

6. MANAGEMENT OF RISK

	Risk	Low (L), Medium (M), High (H)	Mitigation
Financial	If no action is taken to support individuals and address absence trends there is a risk that absence increases. This may result in increased costs to the council i.e. through use of agency workers to cover absent employees	M	Actions as outlined above. Continued adherence to the corporate maximising attendance policy and guidance to ensure that absence is managed as per corporate guidelines.
Legal	Failure to record employee absence may result in non-reporting of notifiable instances of absence in relation to the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) 2013	L	Corporate Health and Safety team to continue to advise the Council compliance with Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) 2013 Reporting requirements
Employee	Risk of low morale if colleagues are absent for a period of time. Risk of stress related illness as a result of employees covering absent colleagues' workloads	M	Implementation of maximising attendance policy and Occupational Health Contract to minimise absence levels The provision of, and signposting to, online stress reducing advice as well as face to face sessions concerned with stress reduction.
Customer	Service Delivery may be affected if absence is high in customer facing roles.	M	Use of peripheral staffing, such as agency or overtime, to assist with service delivery.

Environment	N/A		
Technology	N/A		
Reputational	Risk to Organisations reputation if absence levels are high.	M	Management of absence levels to ensure that they are kept to as low a level as possible.

7. OUTCOMES

Design Principles of Target Operating Model	
	Impact of Report
Workforce	The management of absence levels and the approaches within this report will help to reduce absence levels and to provide support to employees who are absent.

8. IMPACT ASSESSMENTS

Assessment	Outcome
Equality & Human Rights Impact Assessment	Not required
Data Protection Impact Assessment	Not required
Duty of Due Regard / Fairer Scotland Duty	Not applicable

9. BACKGROUND PAPERS

N/A

10. APPENDICES

Health and Wellbeing Activities January to March 2019

11. REPORT AUTHOR CONTACT DETAILS

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Appendix A

Health and Wellbeing Activities January – March 2019

Month	Date	Activity	Location
January	Various dates	Wellpoint Kiosk	Marischal College West Tullos Schools
	10 th 17 th 24 th	Chair Based Yoga	3W01 Marischal College
	18 th (6wks)	Scottish Slimmers	3W02 Marischal College
February	9 th	Pitstop: Spinal Care and Personal Spinal Screenings	4W01 Marischal College
	13 th 20 th 27 th	Metafit	4W01 Marischal College
March	15 th	Pitstop: SAMH Five Ways to Mental Wellbeing	3W01 Marischal College
	13 th – 19 th	National Nutrition and Hydration Week	Online
EVERY WEEK	Everyday	Alternative Therapies	Marischal College Frederick Street Rosemount
	Every Tuesday	Pilates Classes	3W01 Marischal College
	Every Thursday	Tai Chi Class	3W01 Marischal College
	Every Thursday	Yoga Class	3W01 Marischal College
MONTHLY	Every 2 nd Tuesday	Mindfulness	4W02 Marischal College

	Every 2 nd Wednesday	Onsite Chiropractor Clinic	First Aid Room Marischal College
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ABERDEEN CITY COUNCIL

COMMITTEE	Staff Governance
DATE	31 January 2019
REPORT TITLE	OHP Quarterly report: July 2018 – September 2018
REPORT NUMBER	GOV/18/067
DIRECTOR	Steve Whyte
CHIEF OFFICER	Isla Newcombe
REPORT AUTHOR	David Forman
TERMS OF REFERENCE	5.3

1. PURPOSE OF REPORT

- 1.1 This report updates the Committee on Council wide utilisation of the Occupational Health Service contract provided by both OH Assist and Iqarus Limited during the 3 month period July 2018 – September 2018.

2. RECOMMENDATIONS

That Committee:

- 2.1 considers the contents of the report;
- 2.2 instructs the Chief Officer for People and Organisation to review evidence from Functions on the actions taken to support individuals in attending Occupational Health appointments; and
- 2.3 instructs the Chief Officer for People and Organisation to monitor reasons for the use of Occupational Health services and to develop and propose improvement actions where appropriate.

3. BACKGROUND

- 3.1 Following a joint tender evaluation process with Aberdeenshire Council, Iqarus were awarded the Occupational Health Service contract. The contract commenced on 02nd August 2018 and will last for 3 years with an option to extend by a further year.
- 3.2 This report contains utilisation information for the 3-month reporting period (July 2018 – September 2018).
- 3.3 The use of an independent Occupational Health service providing specialist health and wellbeing services allows for an early intervention approach to supporting employees in the workplace. By doing so the Council aims to both

(i) support individual employees' health and wellbeing and (ii) increase its legal compliance in relation to statutory requirements such as health surveillance. This can therefore reduce costs in the event of legal challenge e.g. enforcement action from the Health and Safety Executive (HSE) and employment tribunals.

3.4 Long-term absence is costly. The longer an employee is off work the more challenging it becomes to manage their health problems and less likely that they will return to work. There is mutual benefit to both the council and employees, if we can proactively support employees in the workplace through reasonable adjustments.

3.5 Utilisation (July 2018 – September 2018)

3.6 The table below provides a summary of occupational health service referrals during this reporting period.

OH service	OH referral	Pre-employment checks	Health Surveillance	Vaccinations	Other
No of referrals – OH Assist	23	19	29	4	0
No of referrals - Iqarus	64	78	18	5	39

3.7 A total of 274 employee appointments were made with the new provider, Iqarus, in the period August 2018 – September 2018, of which 215 were attended, 44 were cancelled and rescheduled and 15 were not attended (reported as “Did Not Attend” appointments). Of the 102 appointments made in the months July – August 2018 with the previous provider OH Assist, 76 were attended and 26 cancelled, 25 of which were at short notice.

3.8 During this reporting period there have been 2 physiotherapy assessments delivered to individual employees compared to 5 in the last reporting period.

3.9 There were 85 Did Not Attend/Cancelled appointments over this period. There were 98 for the previous reporting period. While this is a significant reduction from the previous reporting period this figure is still of concern.

3.10 To mitigate this issue in future, a number of actions have been taken:

- Clusters have been back-charged for the non-attendance of their employees in the anticipation that senior managers will act to reduce this figure by improving communication and encouraging attendance at Occupational Health appointments.
- Weekly meetings with the new provider have been scheduled to further improve communications to employees. It is hoped that by ensuring that employees receive sufficient notice of an Occupational Health appointment, that is scheduled for a time suitable for both the employee and the referring Cluster to attend, there will be a resultant reduction in Cancelled and “Did Not Attend” appointments

- Discussions are ongoing with the provider to develop an electronic booking system to improve appointment attendance

3.11 Of those attending Occupational health appointments, the top 3 reported reasons for referral were Mental and Behavioural disorder, Musculo-skeletal disorders and Gastrointestinal disorders. To reduce the instances of referral for these reasons a number of actions are proposed –

- Implementation of a Mental Health Action Plan aimed at pre-empting the development of absence causing mental health issues
- Monitoring of referral reasons by Cluster to allow for targeted interventions.
- The development and usage of specific toolkits aimed at reducing the incidence of both musculoskeletal and gastrointestinal absence and their consequent referral to Occupational Health services. These are contained in the Absence Report being brought to this committee in January 2019.

4. FINANCIAL IMPLICATIONS

4.1 There are no direct financial consequences resulting from this report. However, in terms of cost to the Council, sickness absence is a key issue. As such, the provision of an effective Occupational Health service is in order to minimise:

- absence costs,
- service disruption due to employees being absent,
- overtime/agency staff costs,
- early return to work by employees,
- increased productivity,
- insurance costs,
- employment tribunals / claims, and
- staff turnover and thus lower recruitment costs.

4.2 In the Occupational Health contract there are set levels of maximum usage against various services. e.g. management referrals, ill health retirements and health surveillance. Where the usage volume exceeds that of the level stipulated in the contract any service delivery over and above these volumes will incur additional charges. To monitor any over contract level service delivery the Council receives, on a monthly basis from the provider, a separate invoice detailing any activity over and above that detailed in the Occupational Health contract.

5. LEGAL IMPLICATIONS

5.1 Under the Health & Safety at Work Act etc 1974 and Equality Act 2010 there is a legal requirement to ensure the health, safety and welfare at work of our employees and to consider any health issues that might affect an employee's ability to safely fulfil their job. Employers are under a statutory duty to make such reasonable adjustments as are required to remove any substantial disadvantage faced by employees who are disabled (in terms of the Equality

Act 2010) compared with a non-disabled employee. The definition of a “disability” under the Equality Act 2010 includes any physical or mental impairment which has “...a substantial and long-term adverse effect on...[a person’s]...ability to carry out normal day-to-day activities”. The definition is therefore sufficiently wide to include a number of relatively common health complaints which are long term in nature. There is also a requirement to ensure that an organisation has access to competent advice such as occupational health. This provides line management with independent advice to enable them to make an informed decision on any recommended employee adjustments or adaptations. It is good practice for managers to seek input from occupational health professionals prior to implementing reasonable adjustments or adaptations (in order to help assess the feasibility and expected efficacy of such measures). Managers at the Council are encouraged to proceed in this way if they are required to make reasonable adjustments to assist an employee.

5.2 The provision of, or access to, an occupational health service is in line with guidance produced by the HSE as one of the measures to control related risk and ensure legal compliance with health surveillance.

5.3 Failure to comply with legislation in ensuring a safe and healthy workplace has the potential to result in investigation and potential enforcement action by the HSE. It is noted that in many cases non-compliance with health and safety laws amounts to a criminal offence for which the offender can be prosecuted. Enforcement action includes fines, imprisonment and remedial orders. Where the Council is investigated by the HSE the HSE will charge the Council for the time spent by their staff conducting the investigation notwithstanding the imposition or otherwise of a sanction, therefore even where no fine is levied there may still be a financial cost to the Council if the HSE conducts an investigation. There is also the possibility of employees making a civil claim, which is more likely to succeed following a successful HSE prosecution. Enforcement action or an employee claim is likely to attract adverse publicity in the media and therefore presents a reputational risk to the Council. Access to a competent occupational health service can be used as mitigation against HSE prosecution and thus subsequent potential claims from employees for unfair dismissal or exposure to work related ill health.

6. MANAGEMENT OF RISK

6.1 The risks with the potential to impact the decision being sought from the Committee are categorised as:

	Risk	Low (L), Medium (M), High (H)	Mitigation
Financial	If no action is taken to support individuals and address trends, then the organisation will incur both direct and indirect costs.	M	Implementation of corporate health and safety policy and related procedures to ensure a safe and mentally healthy workplace.

			Identification of and address of root causes and trends.
Legal	Non-compliance with legal requirements if specialist occupational health recommendations and referral trends are not acted upon. No mitigation of potential challenge and subsequent claims. Poor management of the work-related risks has the potential to lead to investigation, enforcement action (Criminal and Civil) fines and claims.	M	<p>As above.</p> <p>Provision of specialist clinical support and advice via a competent occupational health service which provides clinical based recommendations that enable informed decisions on workplace employee support.</p> <p>Undertaking of employee occupational health referrals in relation to work related issues and acting on clinical recommendations.</p> <p>Implementation and completion of health surveillance programme.</p>
Employee	If the right support is not provided it can lead to ill health and further employee absence incurring direct and indirect costs. The longer an employee is absent the more likely it will impact on an employee's health and wellbeing and the less likely that they will return to the workplace.	M	<p>As above.</p> <p>Take a proactive approach to managing workplace risk and supporting employees with adjustments to comply with legislation.</p> <p>Provision of information, instruction and training as identified in Job Profiles, skills and training matrices and in risk assessment.</p> <p>Open and clear two-way communication at all levels within the organisation.</p>

Customer	Reduced quality of service delivery owing to the lack of resource. No assurance of a safe and healthy employee workplace.	M	As above.
Environment	No risk or impact was identified.	-	-
Technology	No risk or impact was identified.	-	-
Reputational	Without ensuring suitable employee support there is a risk of the organisation not being seen as an employer of choice resulting in recruitment and retention issues. Any enforcement action taken against the Council or claims by employees are likely to attract adverse media attention.	L	As above.

7. OUTCOMES

Local Outcome Improvement Plan Themes	
	Impact of Report
Prosperous Economy	Occupational health is a fundamental part of the process in managing absence. An occupational health provider will assist in having a workforce which is healthier, happier and better motivated, which is essential to the sustainability of high quality services. This in turn has a corporate social responsibility ripple effect impacting on the health of the wider community. An occupational health service supports keeping people well at work both physically and mentally. They provide critical support to the process of effective absence management and increase the numbers of employees returning to work earlier. This keeps our employees healthy and safe whilst in work while also managing any risks in the workplace that are likely to give rise to work-related ill health. This in turn ensures the way that they contribute to the local economy is not affected, both in their Council role and in their personal lives. Research shows that good

	<p>health is good for business and healthier workplaces have better financial results. Early intervention can help prevent staff being absent for health-related reasons and improve opportunities for people to recover from illness while at work. Research shows that the longer people are off sick, the less likely they are to make a successful return to work. After six months absence from work, there is only a 50 per cent chance of someone making a successful return. By taking a proactive approach to health, safety and wellbeing the “public pound” will be used effectively thereby reducing lost resource through incurring direct and indirect costs.</p>
<p>Prosperous People</p>	<p>As an organisation the Council considers the health of its workforce to be paramount and a key element in service delivery. This focus is one element in having an engaged workforce and all the additional benefits associated with this.</p> <p>An effective occupational health service will assist in providing clinical based, timely support reducing long term sickness and related absence. It will provide advice about how work affects a person’s health and vice versa. Their independent advice will enable line management to make informed decisions on how to prevent work-related illness and make sure someone is fit to work. Being in ‘good’ and stable work is beneficial to health and well-being, and for those on long-term sick leave, getting back to work is a very important part of the recovery process.</p> <p>By reducing the impact of work-related issues and ill health we can substantially reduce the negative impact of such issues on employee productivity, efficiency and overall behaviour at work. The result of which should be better service delivery.</p>
<p>Prosperous Place</p>	<p>The Council is required to keep employees healthy and safe whilst in work and manage any risks in the workplace that are likely to give rise to work-related ill health. An occupational health provider fulfils this and the statutory requirement to have access to ‘competent’ occupational health advice as part of the organisational arrangements.</p> <p>The Council, in conjunction with an occupational health service, can protect and promote the health and well-being of employees, creating a healthier workplace and a healthier workforce, which will also</p>

	<p>protect and enhance our image and reputation as a good employer.</p> <p>Any detrimental effects caused through poor health of employees impacts on the provision of public services. An engaged workforce is best-placed to provide good service delivery to the residents of the City. This would result in positive public opinion, which would be of benefit to the City, that can extend outwardly to visitors and businesses seeking to inwardly invest. Through early intervention on absence, the impact on the local economy and drain on other public sector services can be reduced.</p>
Enabling Technology	<p>The use of a digital solutions has assisted in delivery of the service. The use of a portal providing an electronic booking system and access to reports improves the speed of accessibility. The majority of appointments are conducted by telephone to remove the need for employees and the medical professionals to travel thus saving the time and additional effort for both parties.</p>

Design Principles of Target Operating Model	
	Impact of Report
Workforce	<p>Approval of the recommendations for the Chief Officer for People and Organisation to request and review evidence from Functions on the actions taken to support individuals in attending Occupational Health appointments and for the Chief Officer for People and Organisation to monitor reasons for the use of Occupational Health services and to develop and propose actions aimed at reducing this usage. would assist in reducing the risk of lost resource through, for example, absence, enforcement action and potential claims. The early addressing of issues has the potential to reduce impact on employees and the wider community thus reducing demands on other public-sector organisations.</p>
Process Design	<p>This can allow the committee to identify where processes are failing to address health and safety risks and improve wellbeing.</p>
Partnerships and Alliances	<p>This allows Trade Unions, elected members and officers to collaborate.</p>

8. IMPACT ASSESSMENTS

Assessment	Outcome
Equality & Human Rights Impact Assessment	Not required
Data Protection Impact Assessment	Not required
Duty of Due Regard / Fairer Scotland Duty	Not Applicable

9. BACKGROUND PAPERS

ACC Management Information pack: Q4 October 2018. Provided by Iqarus.

Aberdeen City Council Executive Summary Jul – Aug 2018. Provided by OH Assist

10. APPENDICES (if applicable)

N/A

11. REPORT AUTHOR CONTACT DETAILS

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ABERDEEN CITY COUNCIL

COMMITTEE	Staff Governance
DATE	31 January 2019
REPORT TITLE	Employee Assistance Service July – September 2018
REPORT NUMBER	RES/19/052
DIRECTOR	Steven Whyte
CHIEF OFFICER	Isla Newcombe
REPORT AUTHOR	Rebekah Walker
TERMS OF REFERENCE	5.2

1. PURPOSE OF REPORT

- 1.1 This report updates the Committee on utilisation of the Employee Assistance Service (EAS) provided by Time for Talking during the 3-month period July – September 2018.

2. RECOMMENDATIONS

That Committee:

- 2.1 Considers the contents of the report; and
 2.2 Instructs the Director of Resources to request evidence from Functions on the actions taken to support individuals and address trends (usage and root causes) as detailed in the report.

3. BACKGROUND

- 3.1 Following a joint tender evaluation process with Aberdeenshire Council, Therapeutic Counselling Services Ltd. (Time for Talking) were awarded the Employee Assistance Service (EAS) contract. The new contract commenced on 01 January 2017 and is for a duration of 3 years with the option of extending for a further period of up to 24 months.
- 3.2 This report contains utilisation information on the 3 month reporting period (July – September 2018). The provided information reflects the revised Function structure. This report therefore has limited comparison figures for the corresponding period reported under the previous Directorate structure.

Utilisation (July – September 2018)

- 3.3 A total of 37 referrals were made during July to September 2018, 36 from employees and 1 from a family member. The overall figure is similar to the last

reporting period (April – June 2018) of 38. There were a higher number of referrals relating to Personal Issues (27) compared to Work Related Issues (10) the same trend as the last reporting period. The greatest number of referrals was 19 from Operations, this includes Integrated Children’s and Family Services and Operations and Protective Services. In comparison to the previous reporting period of 23 referrals from the same Function.

3.3.1 Overall the provided utilisation information shows similar trends to the last reporting period with the related services. Work Related Issues remain similar to last period, with Demands (Workload/ Stress/Anxiety) being the most common reason for utilisation.

3.3.2 Of the personal issues 17 out of 27 relate to Personal Stress/Depression/Anxiety. This accounts for 63% of the personal issue referrals; this is lower than the last reporting period of 69%. Of the Work-Related Issues 9 referrals related to Demands (Workload/ Stress/Anxiety) and 1 referral related to relationship with line manager. This figure is similar to the previous reporting period of 10 (for demands) and 0 for relationship with line manager.

3.3.3 51% of all referrals came from operations (19/37). This percentage is to be expected as 68% of all employees work in the Operations Function.

3.4 A person can experience excessive pressure and demands outside work just as much as they can at work. Stress tends to build up over time because of a combination of factors that may not all be work related. Conflicting demands of work and home can cause excessive stress. Stressors at home can affect those at work and vice versa. The “adverse reaction people have to excessive pressures or other types of demand placed on them” (HSE, 2018) can seriously undermine the quality of people’s working lives and, in turn, the effectiveness of the workplace.

3.4.1 The breakdown of figures by Function and issue for the period July to September 2018 is shown in the table below: -

Functions	Number of Staff within Service	% of Staff usage	Number of referrals	Personal Issues	Health/Bereavement	Addiction/Abuse	Relationship/Family Issues	Personal Stress/Depression/Anxiety/Anger	Traumatic Incident	Work Related Issues	Change (Organisational/redundancy)	Demands (Workload/Stress/Anxiety)	Relationships (with colleagues)	Relationships with manager (Bullying Harassment)	Role (Understanding of)	Support (discipline & grievance)	Control
Commissioning	101	0.00	0		0	0	0	0	0		0	0	0	0	0	0	0
Customer	1189	0.93	11		1	0	1	5	0		0	4	0	0	0	0	0
Operations	5151	0.37	19		2	0	3	10	0		0	3	0	1	0	0	0
AHSCP	607	0.66	4		1	0	0	2	0		0	1	0	0	0	0	0
Resources	327	0.31	1		0	0	0	0	0		0	1	0	0	0	0	0
Governance	81	1.23	1		0	0	1	0	0		0	0	0	0	0	0	0
Place	156	0.00	0		0	0	0	0	0		0	0	0	0	0	0	0
Foster Carers	0	0.00	0		0	0	0	0	0		0	0	0	0	0	0	0
Elected Members	0	0.00	0		0	0	0	0	0		0	0	0	0	0	0	0
Family Member	0	0.00	1		1	0	0	0	0		0	0	0	0	0	0	0
Total Number of Referrals/C'ling	7612	3.493	37		5	0	5	17	0		0	9	0	1	0	0	0

3.5 The numbers of referrals for the same reporting period (July to September 2018) are higher than the last 3 years. However more has been done to increase awareness of the service for example posters have been displayed in all workplaces, new information leaflets have been produced and all employees have been personally given a wallet card by their line manager with Time for Talking contacts details.

- July – September 2015 26
- July – September 2016 30
- July – September 2017 29
- July – September 2018 37

3.6 The percentage of the Council's workforce that used the service is detailed below, along with similar sized local authorities' industry averages for comparison for the reporting period:

Council A – Aberdeen City Council	0.49%
Council B	0.54%
Council C	0.33%
Council D	0.57%

3.7 During this quarter only fulltime employees (36) used the service. Female utilisation has increased very slightly (27 from 26) with male utilisation decreasing (13 to 10) in the last reporting period. The majority of employees are at work (22) compared to those absent from work (14) when receiving support. One family member has used the service.

Full details are shown in the table below: -

	Demographics						
	Male	Female	Full Time	Part Time		Currently at work	Absent from work
Commissioning	0	0	0	0		0	0
Customer	3	8	11	0		6	5
Operations	2	17	19	0		12	7
AHSCP	3	1	4	0		2	2
Resources	1	0	1	0		1	0
Governance	0	1	1	0		1	0
Place	0	0	0	0		0	0
Foster Carers	0	0	0	0		0	0
Elected Members	0	0	0	0		0	0
Family Member	1	0	0	0		0	0
	10	27	36	0		22	14

***Family member not included in Full / Part Time or at Work / Absent at work categories

3.8 All referrals made in this reporting period were self-referrals. The assistance provided was mainly via face to face counselling (25) with an increased number of telephone counselling (4 to 10). During the reporting period no employees were given additional sessions. Employees were made aware of the service via a range of means as detailed in the table below.

	Assistance Provided							Type of Referral			How Employees heard about Service				
	Helpline/Advice Only	No contact from client	Telephone Counselling	Face to face counselling	CBT Counselling Sessions	Live Zilla Counselling sessions	Management Referral	Self Referral	Website/Posters/Leaflets	Managers	Colleagues	HR	Wallet Cards		
Commissioning	0	0	0	0	0	0	0	0	7	8	13	9	0		
Customer	0	1	2	8	0	0	0	11							
Operations	1	0	6	12	0	0	0	19							
AHSCP	0	0	2	2	0	0	0	4							
Resources	0	0	0	1	0	0	0	1							
Governance	0	0	0	1	0	0	0	1							
Place	0	0	0	0	0	0	0	0							
Foster Carers	0	0	0	0	0	0	0	0							
Elected Members	0	0	0	0	0	0	0	0							
Family Member	0	0	0	1	0	0	0	1							
	1	1	10	25	0	0	0	37							

- 3.9 Service users are offered the opportunity to provide feedback on the service via a short questionnaire. 7 anonymous questionnaires have been completed by service users in the last reporting period. Feedback on the most helpful aspect of the counselling service included; support in a time of crisis, help to see things differently and build personal resources, a focus on the individual's own needs.

Actions

- 3.10 It is critical that Function leads, and responsible line management ensure that suitable and sufficient action is being taken to support individuals and address trends (usage and root causes). This includes the application of the Mental Health and Wellbeing in the Workplace Policy and the Management of Stress Procedure. Other improvement actions suggested include:
- Adoption and delivery of the mental health action plan as tabled to this committee today
 - Sharing with Function leads the information in this report so that local action plans can be developed
 - Continued communication and advocacy of the service provided by Time for Talking
 - Completion of risk assessments to assist in identifying, understanding and addressing factors that affect employees' mental health and wellbeing. Functions should be proactively completing Quality of Working Lives (QWL's) risk assessments for teams (and in some cases individuals) to identify improvement areas as detailed in the Health and Safety Executive (HSE) Management Standards;
 - Completion of Line Manager Competency Indicator Tool (HSE) for managers to assess whether they currently have the behaviours identified as effective for preventing and reducing stress at work. This will assist managers reflect on their behaviour and management style and adapt as necessary;
- 3.11 People and Organisation will continue to advertise the service but must not rely on the EAS to address the issues. Local mental health charities will continue to be worked with to raise awareness of mental health. If no action is taken to address the root causes of issues and related absence the referral utilisation figures will continue to remain the same.

4. FINANCIAL IMPLICATIONS

- 4.1 There are no direct financial consequences resulting from this report. The award price has been calculated on the expected usage. If usage climbs above the expected level, there will be a cost implication and a sharp increase in usage should be investigated and considered.
- 4.2 An effective EAS service supports individuals with difficulties in their lives; sometimes these problems can affect an individual's ability to function fully at work or at home. This in turn may impact on their health and wellbeing, which may also impact on their productivity, attendance and associated costs. Both direct and indirect costs require to be considered.

- 4.3 The longer an employee is off work the more challenging it becomes to manage their health problems and less likely that they will return to work. Long-term absence is costly. There is mutual benefit if we can proactively support employees in the workplace and help employees avoid long waiting times for, e.g. counselling or psychological therapy.
- 4.4 Failure to comply with legislation in ensuring a safe and healthy workplace has the potential to result in enforcement action by the Health and Safety Executive (HSE). Such intervention can result in potential prosecution (criminal) equally, employees (civil claims) are more likely to succeed following as successful HSE prosecution. Changes in the Sentencing and Fines Guidance for health and safety non-compliances are resulting in increased financial penalties. Fine starting points are based on an organisation's turnover. As Local Authorities do not have turnover; Annual Revenue Budget is deemed to be the equivalent. This amount is then altered depending on the culpability of the organisation and harm factors to employees and members of the public.
- 4.5 There is also the potential for employment tribunal associated costs if an employee was to make an employment related claim against the Council.

5. LEGAL IMPLICATIONS

- 5.1 Under the Health and Safety at Work Act 1974 and Management of Health and Safety at Work Regulations 1999 there is a legal requirement to ensure the health safety and welfare at work of our employees. This includes minimising the risk of stress-related illness or injury to employees.
- 5.2 The provision of an EAS is in line with guidance produced by the HSE as one of the measures to control that risk. One person in four in the UK will experience a mental health problem in their lives.
- 5.3 HSE potential prosecution (criminal) can attract fines, imprisonment and remedial orders. There is also the possibility of employee claims (civil). Provision of an EAS can be used as mitigation against potential claims from employees exposed to work related stress.

6. MANAGEMENT OF RISK

- 6.1 The risks with the potential to impact the decision being sought from the Committee are categorised as:

	Risk	Low (L), Medium (M), High (H)	Mitigation
Financial	If no action is taken to support individuals and address trends, then the organisation will incur both direct and indirect costs.	M	Implementation of the Mental Health and Wellbeing in the Workplace Policy and supporting Stress

			<p>Procedure. Effective management and maintenance of a mentally healthy workplace and provision of appropriate support. Review and identification of EAS use and related absence to act on lessons learned. Corporate and individual awareness of mental health in the workplace. Active monitoring of work-loads.</p>
Legal	<p>Compliance with legal requirements ensures the health and safety of employees. Poor management of the risks and lack of support has the potential to attract enforcement action (criminal and civil).</p>	M	<p>As above. Assessment of risk via stress and QWL's risk assessments with identification and implementation of safe working arrangements. Functions acting on utilisation, trend and root cause information to develop and implement controls to prevent a reoccurrence. Completion of Line Manager Competency Indicator Tool (HSE) by line managers acting on feedback. Provision of specialist support / advice.</p>
Employee	<p>Ineffective support during challenging times impacting on an employee's personal health and wellbeing. This has the potential to affect their resilience and ability to function at work and with general life events. This can result in employee ill health and related absence. The longer an employee is absent the more likely it will impact on an employee's health and wellbeing and the less likely</p>	M	<p>As above. Provision of information, instruction and training as identified in Job Profiles, skills and training matrices and in risk assessment. Open and clear two-way communication at all levels within the organisation. Non-judgmental and proactive support provided to employees</p>

	that they will return to the workplace.		who experience mental health problems. Good self-management of personal wellbeing and resilience.
Customer	Reduced quality of service delivery owing to the lack of resource. No identification of trends and root causes will not address or prevent reoccurrence and not ensure a safe and healthy employee workplace.	M	As above.
Environment	No risk or impact was identified.	-	-
Technology	No risk or impact was identified.	-	-
Reputational	Without ensuring suitable employee support there is a risk of the organisation not being seen as an employer of choice and having recruitment and retention issues. Potential civil or criminal action against the organisation will also adversely impact upon its reputation.	L	As above.

7. OUTCOMES

Local Outcome Improvement Plan Themes	
	Impact of Report
Prosperous Economy	An EAS assists in having a workforce which is healthier, happier and better motivated, which is essential to the sustainability of high quality services. This in turn has a corporate social responsibility ripple effect impacting on the health of the wider community. By taking a proactive approach to health, safety the “public pound” will be used effectively reducing lost resource through direct and indirect costs.

<p>Prosperous People</p>	<p>By reducing the impact of personal issues that an employee may encounter such as stress, bereavement or debt we can substantially reduce the negative impact of such issues on their productivity, efficiency and overall behaviour at work. Through the provision of support, employees' resilience improves enabling them to deal with life and work challenges more positively. As well as impacting on productivity it also assists in maximising attendance. It is difficult to control outside stressors, but there is a need to take a holistic approach to employee wellbeing. To manage work related stress effectively, we need to recognise the importance and interaction of work and home problems.</p> <p>Employees do not have to be experiencing problems to use the service, as there are many positive benefits of regular engagement for lifestyle guidance. As an engagement tool the provision of the service and associated resources can assist the organisation's health and wellbeing strategies.</p>
<p>Prosperous Place</p>	<p>With stronger resilience employees, elected members and foster carers would be able to provide better service delivery. There are only positive outcomes to be gained from support colleagues and seeking assurance from Functions that action is being taken to support individuals and address trends in the current changing environment.</p>
<p>Enabling Technology</p>	<p>The use of telephone counselling, instant messaging and website information increases the speed of accessing support.</p>

<p>Design Principles of Target Operating Model</p>	
<p>Governance</p>	<p>Impact of Report</p> <p>The provision of EAS utilisation figures and trends provides an opportunity for the committee to scrutinise the provided management information. It enables what action has been taken by Function responsible line management to support individuals and address trends to be questioned. From the evidence the committee can determine if the level of assurance provided is acceptable in effectively managing health and safety.</p>

Workforce	The report provides the opportunity for the committee to ensure that trends are addressed and the health and safety management system improved. This would reduce the risk of lost resource through for example absence, enforcement action and potential claims. Early address of issues has the potential to reduce impact on employees and the wider community reducing demands on other public sector organisations.
Process Design	This can allow the committee to identify where processes are failing to address health and safety risks and improve wellbeing.
Partnerships and Alliances	This allows Trade Unions, elected members and officers to collaborate.

8. IMPACT ASSESSMENTS

Assessment	Outcome
Equality & Human Rights Impact Assessment	Not required
Data Protection Impact Assessment	Not required
Duty of Due Regard / Fairer Scotland Duty	Not Applicable

9. BACKGROUND PAPERS

Employee Assistance Service – Quarterly report July 2018 – September 2018

10. APPENDICES (if applicable)

There are no appendices.

11. REPORT AUTHOR CONTACT DETAILS

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ABERDEEN CITY COUNCIL

COMMITTEE	Staff Governance Committee
DATE	31 January 2019
REPORT TITLE	Bridge of Don Academy Asbestos Incident
REPORT NUMBER	RES/19/162
DIRECTORS	Rob Polkinghorne/Steve Whyte
CHIEF OFFICERS	Mark Reilly/Stephen Booth/John Wilson
REPORT AUTHOR	Stephen Booth
TERMS OF REFERENCE	Purpose 8

1. PURPOSE OF REPORT

- 1.1 The report provides information on an accidental uncontrolled release of asbestos fibres at Bridge of Don Academy on Thursday 12 July 2018, the resulting investigation by the Health and Safety Executive and actions implemented to ensure future compliance.

2. RECOMMENDATION

- 2.1 That the Committee note the report.

3. BACKGROUND

- 3.1 On the 12 July 2018 there was an accidental uncontrolled release of asbestos fibres at Bridge of Don Academy during work carried out by the Council's Building Services cluster. The laboratory report confirmed that the materials sampled contained asbestos.
- 3.2 The incident was reportable to the Health and Safety Executive (HSE) as a dangerous occurrence as required by The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR). The HSE completed an investigation and the Council has now received a letter (dated 28 November 2018) from the HSE, which details the contraventions discovered during their investigation.
- 3.3 An internal Aberdeen City Council investigation was carried out in line with the organisation's incident and near miss investigation procedure. This was completed on 9 August 2018 and the remedial actions identified within this investigation are listed in the middle column of Appendix A and are matched against those which were identified by HSE.

3.4 The action plan in the appendices outlines remedial actions being undertaken by the Council to satisfy the requirements within HSE's notification of contravention.

4. FINANCIAL IMPLICATIONS

4.1 Aberdeen City Council have received and settled invoices for payment of fees set out in the Health and Safety and Nuclear (Fees) Regulations 2016, Regulations 22 and 23.

4.2 There have been two invoices received to date totalling £838.50, which is equivalent to 6.5 hours HSE time spent on the investigation.

4.3 The HSE inspector has advised that further invoices will be raised in respect of this incident investigation, but the exact amounts were not available to them at this time.

4.4 The bespoke asbestos training provided to frontline services will cost £23,000 which will be met from existing training budgets

4.5 Many organisations as part of their tendering process require an answer to be provided on recent HSE interventions and the letter of enforcement action served by Health and Safety Executive could have a bearing on procurement where Aberdeen City Council services have tendered for external business.

5. LEGAL IMPLICATIONS

5.1 The Health and Safety Executive has identified contraventions of health and safety legislation. Aberdeen City Council must now seek to implement the recommendations across all relevant service areas to help ensure full compliance with the relevant legislation.

6. MANAGEMENT OF RISK

	Risk	Low (L), Medium (M), High (H)	Mitigation
Financial	Punitive costs	H	Ensure compliance with statutory requirements and internal processes and procedures. Review of the policies and procedures in place, implementation of the proposed action plan, develop accessible single

			asbestos register and bespoke asbestos training.
Legal	Prosecution	H	Ensure compliance with statutory requirements and internal processes and procedures. Review of the policies and procedures in place, implementation of the proposed action plan, develop accessible single asbestos register and bespoke asbestos training.
Employee	Civil claims if industrial disease diagnosed in future	L	Ensure compliance with statutory requirements and internal processes and procedures. Review of the policies and procedures in place, implementation of the proposed action plan, develop accessible single asbestos register and bespoke asbestos training.
Customer	N/A	N/A	N/A
Environment	N/A	N/A	N/A
Technology	N/A	N/A	N/A
Reputational	Loss of good reputation	M	Ensure compliance with statutory requirements and internal processes and procedures. Review of the policies and procedures in place, implementation of the proposed action plan, develop accessible single asbestos register and bespoke asbestos training.

7. OUTCOMES

Local Outcome Improvement Plan Themes	
	Impact of Report
Prosperous Economy	N/A

Prosperous People	N/A
Prosperous Place	N/A
Enabling Technology	N/A

Design Principles of Target Operating Model	
	Impact of Report
Customer Service Design	N/A
Organisational Design	N/A
Governance	The changes required from both the HSE and internal ACC investigations will result in the organisation meeting the required statutory requirements by developing and improving the internal processes and procedures of the Clusters who face the risk of exposure to asbestos.
Workforce	N/A
Process Design	N/A
Technology	N/A
Partnerships and Alliances	N/A

8. IMPACT ASSESSMENTS

Assessment	Outcome
Equality & Human Rights Impact Assessment	N/A
Privacy Impact Assessment	Not required
Duty of Due Regard / Fairer Scotland Duty	N/A

9. BACKGROUND PAPERS

None

10. APPENDICES

Appendix A: Action Plan
Exempt Appendix B

11. REPORT AUTHOR CONTACT DETAILS

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APPENDIX A

HSE contravention	ACC Investigation Recommendation	Responsible officer	Remedial Actions	Completion date	Update
You should review the arrangements for commissioning refurbishment surveys to ensure that the survey is suitable and sufficient for the work to be carried out and for ensuring that there is adequate review if the scope of work changes.	Review process to ensure refurbishment surveys reflect the scope of works to be carried out.	Ian Cowling/Ian Perry (Client Function)	Prior to the incident occurring, procedures were being revisited. Design Function to provide detailed scope of work to allow relevant survey information to be obtained. Should scope of works change, Design Function to seek additional information from Asbestos Management Team. Asbestos Management Team to review asbestos report prior to issuing to Design Function.	Complete	
		Neil Esslemont/John Buthlay (Design Function)	Procedures have been reviewed. The asbestos and issuing of variations procedures have been amended to highlight to the Contract Administrator and Contractor the need to refer to the asbestos report where the scope of the works changes, and to obtain from the Client (Asbestos Management Teams) further information if required.	Complete	
		Graham Williamson (Contractor Function)	The pre-construction information provided by the client/design team is reviewed and incorporated within the Construction Phase Plan	Complete	

HSE contravention	ACC Investigation Recommendation	Responsible officer	Remedial Actions	Completion date	Update
			(CPP) to ensure safe working practices are identified and carried out on site. Any amendment to the design during the construction phase, will require the CPP to be reviewed and updated as necessary.		
	Review how refurbishment survey information is presented to those attending site to ensure understanding before commencement of works.	Ian Cowling/Ian Perry (Client function)	Believed to be Contractor Function and therefore no action considered necessary.	No action required	
		Neil Esslemont/ John Buthlay (Design Function)	Believed to be Contractor Function and therefore no action considered necessary	No action required	
		Graham Williamson (Contractor Function)	Information is presented to those on site during the induction process and within the Risk Assessment/Method Statement (RAMS).	Complete	

HSE contravention	ACC Investigation Recommendation	Responsible officer	Remedial Actions	Completion date	Update
	Review risk assessments and method statements.	Ian Cowling/Ian Perry (Client Function)	Believed to be Design Function therefore no Action required. If required contract administrator can request assistance from Asbestos Management Team.	No action required	
		Neil Esslemont/John Buthlay (Design Function)	There is already a requirement for the Principal Designer/Contract Administrator to review the contractor's method statements and where considered appropriate consult with the Asbestos Management Team within Housing Assets, therefore no action required.	No action required	
		Graham Williamson (Contractor Function)	RAMS are written in the first instance to be site specific for the contract and are reviewed if the scope of work changes, a change to materials used or working practices and when a design change occurs during the construction process.	Complete	
	Competent asbestos officer (advisor) to be included at design stage of project.	Ian Cowling/Ian Perry (Client Function)	The Asbestos Management Team is commissioned at the outset of ever project and the scope of works is discussed at this stage and the relevant survey information is made available.	No action required	

HSE contravention	ACC Investigation Recommendation	Responsible officer	Remedial Actions	Completion date	Update
		Neil Esslemont/ John Buthlay (Design Function)	The Asbestos Management Team is commissioned at the outset of every project. No additional action is considered necessary.	No action required	
		Graham Williamson (Contractor Function)	Function of design team	No action required	
	Competent asbestos advisor to be at pre-site meeting to discuss scope of works and available when required through the life cycle of the project.	Ian Cowling/Ian Perry (Client Function)	Asbestos Officers are available to attend as requested by the project administrator.	No action required	
		Neil Esslemont/ John Buthlay (Design Function)	An Asbestos Officer does not currently attend pre-start meetings. These meetings follow a formal structure dealing with contractual issues and therefore it is not considered necessary for an asbestos officer to attend these meetings, therefore no action required. The Asbestos Management is available throughout the life of the project and currently provide support and advice to the Principal Designer/Contract Administrator and Contractor.	No action required	

HSE contravention	ACC Investigation Recommendation	Responsible officer	Remedial Actions	Completion date	Update
		Graham Williamson (Contractor Function)	Believed to be Client/Design Function and therefore no action considered necessary	No action required	
	Consideration to be given on implementing a checklist for work arrangements before intrusive works is to be carried out.	Ian Cowling/Ian Perry (Client Function)	Believed to be Contractor Function and therefore no action considered necessary	No action required.	
		Neil Esslemont/ John Buthlay (Design Function)	Believed to be Contractor Function and therefore no action considered necessary	No action required	
		Graham Williamson (Contractor Function)	Checklist to be developed.	March 19	
The procedures for dealing with accidental disturbance and damage to asbestos are not sufficiently robust to be effective. The level of training provided to managers and supervisors is not adequate to ensure that the correct procedures are	Review all existing procedures for dealing with potential asbestos-containing materials – disturbed and undisturbed.	(Client Function)	Procedures are in place but, require to be formalised to outline to end users actions to be taken in the event of a potential accidental disturbance and or damage to asbestos.	February 2019	

HSE contravention	ACC Investigation Recommendation	Responsible officer	Remedial Actions	Completion date	Update
followed. The level of training and information provided should be improved to ensure there is a robust system for dealing with such occurrences. A more robust system with a means of ensuring that all the relevant action is taken should be implemented.					
		Neil Esslemont/ John Buthlay (Design Function)	An additional procedure relating to the potential accidental disturbance of asbestos has been drafted and implemented. All members of the Design Team have previously attended an asbestos awareness course. All will attend refresher training.	Procedure Implemented. Refresher training arranged for April 2019.	
		Graham Williamson (Contractor Function)	Existing procedures have been reviewed and agreement reached with EIS/GMB/Unison/Unite unions. Initial Building Services asbestos process reminder delivered to front line staff. Agreed process to be delivered to staff at team meetings	Complete Complete January/ February 19	

HSE contravention	ACC Investigation Recommendation	Responsible officer	Remedial Actions	Completion date	Update
	Ensure correct level of training on the management of asbestos is delivered to responsible persons involved in the client, design and contract sides of projects.	Ian Cowling/Ian Perry (Client Function)	No action required as Asbestos team are adequately trained and refresher training is carried out at appropriate intervals.	No Action Required.	
		Neil Esslemont/John Buthlay (Design Function)	All members of the Design Team have previously attended an asbestos awareness course. All will attend refresher training.	Refresher training arranged for March 2019.	
		Graham Williamson (Contractor Function)	Bespoke Asbestos Awareness training in place and being delivered to Building Services frontline staff, union and others services.	June 19	
	Refresher training for all line management on compliance with the CDM2015 regulations to ensure that all tasks, regardless of size, are planned correctly.	Ian Cowling/Ian Perry (Client Function)	All relevant officers to attend appropriate CDM training.	April 2019	
		Neil Esslemont/	All members of the team have received APS accredited training on CDM 2015, but a refresher	Refresher training to be	

HSE contravention	ACC Investigation Recommendation	Responsible officer	Remedial Actions	Completion date	Update
		John Buthlay (Design Function)	course should be arranged to further enhance the knowledge base.	arranged for April 2019.	
		Graham Williamson (Contractor Function)	All Building Services supervisory staff hold a current Site Management Supervisory Training Scheme (SMSTS) qualification, and specific staff hold a Principal Designer qualification.	Refresher training for Principal Designer to be arranged for April 2019	
	Ensure all information is provided to frontline employees / sub-contractors to ensure that the task is carried out safely.	Ian Cowling/Ian Perry (Client Function)	Believed to be Contractor Function and therefore no action considered necessary	No action required	
		Neil Esslemont/ John Buthlay (Design Function)	Believed to be Contractor Function and therefore no action considered necessary	No action required	
		Graham Williamson (Contractor Function)	Information is presented to those on site during the induction process and within the Risk Assessment/Method Statement (RAMS).	Complete	
	Build on existing asbestos training to increase knowledge and understanding	Ian Cowling/Ian Perry (Client Function)	Agree. Additional Training to be arranged as and when considered necessary.	Ongoing.	

HSE contravention	ACC Investigation Recommendation	Responsible officer	Remedial Actions	Completion date	Update
		Neil Esslemont/ John Buthlay (Design Function)	Agree. Additional Training to be arranged as and when considered necessary.	Ongoing.	
		Graham Williamson (Contractor Function)	Third party accredited bespoke asbestos training being delivered.	June 19	
Prior to construction activity beginning a clear plan to segregate the construction work from other activities should have been drawn up. There should not have been unauthorised access inside the work area and if necessary alternative security arrangements should have been implemented to avoid the need for Facilities staff to access the area. Effective arrangements to co-ordinate the various parties with an interest in the project should	Review all asbestos procedures in each Service Area to ensure that coordination planning is included. This should have a method to ensure that the identified issues have been closed out.	Ian Cowling/Ian Perry (Client Function)	Believed to be Design Function and therefore no action considered necessary	No action required	

HSE contravention	ACC Investigation Recommendation	Responsible officer	Remedial Actions	Completion date	Update
have been put in place.					
		Neil Esslemont/ John Buthlay (Design Function)	Procedure relating to the Design Team's evaluation and monitoring of the Contractor's measures to prevent unauthorised access has been made more robust.	Complete.	
		Graham Williamson (Contractor Function)	Existing system in place for Building Services, to be reviewed.	Complete	
In reviewing your procedures following an incident you should also consider the arrangements for communicating information to the relevant parts of the organisation to ensure that the information reaches those who may be affected.	Toolbox talk to improve line management incident/near miss recording and reporting.	(Client Function)	Procedures are in place but, require to be formalised to outline to end users actions to be taken in the event of a potential accidental disturbance and or damage to asbestos.	February 2019	
		Neil Esslemont/ John Buthlay (Design Function)	A procedure detailing the action required by the Design Team when we are advised that there could potentially have been a disturbance of asbestos has been drafted and implemented.	Complete	

HSE contravention	ACC Investigation Recommendation	Responsible officer	Remedial Actions	Completion date	Update
		Graham Williamson (Contractor Function)	Toolbox talks have been delivered and will be repeated on a regular basis.	June 19	
	Introduce an emergency sequential checklist to be completed to ensure correct procedures are complied with.	Ian Cowling/Ian Perry (Client Function)	Believed to be a Design/Contractor Function and therefore no action considered necessary.	No action required.	
		Neil Esslemont/ John Buthlay (Design Function)	Not considered necessary as new procedure to be adopted has been issued.	No action required.	
		Graham Williamson (Contractor Function)	To be developed.	April 19	
	Ensure strong communication links are maintained between the Client, Principal Designer and Principal Contractor and facilitate frontline employees/ sub-contractor's awareness of where it is known or strongly suspected that asbestos-containing materials are present.	Ian Cowling/Ian Perry (Client Function)	Agree. Asbestos Management Team are available to assist.	Ongoing.	

HSE contravention	ACC Investigation Recommendation	Responsible officer	Remedial Actions	Completion date	Update
		Neil Esslemont/ John Buthlay (Design Function)	CDM 2015 was introduced with an aim to improve liaison between Client, Principal Designer, Designer, Principal Contractor, Contractor and to enhance communication between all parties to ensure health and safety. This is currently carried out by way of meetings at various stages of the design and construction process and is imbedded in existing procedures. It places a duty on Principal Contractors/ Contractors to consult and engage with workers, front line employees and sub-contractors so that construction work can be carried out without risks to health and safety.	Ongoing	
		Graham Williamson (Contractor Function)	Communication links are in place and are being strengthened and developed.	Complete	

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