



PERFORMANCE & AUDIT COMMITTEE

PLEASE NOTE CHANGE OF VENUE

Mandela Room, City Chambers, Edinburgh, EH1 1YJ
Friday 16th November 2018 – 10:00am

AGENDA

1. ORDER OF BUSINESS
2. APOLOGIES
3. DECLARATIONS OF INTEREST
4. MINUTES OF THE P&A COMMITTEE – FRIDAY 7th SEPTEMBER 2018 2
5. FINANCE REPORTS – Reports by Hugh Dunn, Treasurer
(a) Financial Planning 2018-19 5
(b) Treasury Management – Mid-Term Review 1 2
6. RISK REPORT – Report by Angela Chambers 1 4
7. SESTRAN HR POLICY REVIEW – Report by Angela Chambers 2 2
8. CONFIDENTIAL ITEM – TO FOLLOW
Partnership Management Remuneration – Report by HR Adviser and Treasurer
9. DATE OF NEXT MEETING
The provisional date of the next meeting has been scheduled for **10:00am on Friday 8 March 2019, Mandela Room, City Chambers, Edinburgh, EH1 1YJ**

Gavin King
Secretary to SESTRAN
Democracy, Governance and Resilience Senior Manager
Strategy & Insight Division
The City of Edinburgh Council
Waverley Court 2.1
Edinburgh
EH8 8BG

9th November 2018

Telephone: 0131 529 4239 or E-mail: gavin.king@edinburgh.gov.uk
Agendas and papers for all SEStran meetings can be accessed on www.sestran.gov.uk

PERFORMANCE & AUDIT COMMITTEE MEETING

**HELD IN DIAMOND JUBILEE ROOM, CITY CHAMBERS, EDINBURGH, EH1 1YJ
ON FRIDAY, 7 September 2018
10.00 A.M.**

PRESENT:	<u>Name</u>	<u>Organisation Title</u>
	Councillor Imrie (in the Chair)	Midlothian Council
	Councillor Fullarton	Scottish Borders Council
	Councillor Murtagh	Falkirk Council
	Callum Hay	Non-Councillor Member
	Doreen Steele	Non-Councillor Member
	Barry Turner	Non-Councillor Member

IN ATTENDANCE:	<u>Name</u>	<u>Organisation Title</u>
	Elizabeth Forbes	SEStran
	Jim Grieve	SEStran
	Gavin King	City of Edinburgh Council
	Stuart Johnston	City of Edinburgh Council
	Karen Jones	Scott Moncrieff
	Iain Shaw	City of Edinburgh Council

Action by

A1. ORDER OF BUSINESS

It was confirmed that there was no change to the order of business.

A2. APOLOGIES

Apologies were received from Councillors Dempsey, and Lee, Simon Hindshaw.

A3. DECLARATIONS OF INTERESTS

None.

A4. MINUTES

Decision

To approve the minute of 8 June 2018 as a correct record.

A5. EXTERNAL AUDIT REPORT – Report by Scott Moncrieff

Scott-Moncrieff, the external auditors completed an audit in September 2018 and their findings were outlined in the 2017/18 Annual Audit Report.

The key observations from the report identified a significant governance weakness relating to approval of invoices, recommended that further work be carried out to consider the long term financial priorities of the Partnership, and that the Transport (Scotland) Bill which, was introduced to Parliament on 8 June, would have a significant impact as it would allow regional transport partnerships to be given the authority to hold reserves. This would provide the Partnership with greater financial flexibility and help facilitate longer term financial planning.

Decision

To note the report.

A6. FINANCE REPORTS

(a) Audited Annual Accounts 2017/18

The Audited Annual Accounts were presented to the Committee in accordance with the Local Authority Accounts (Scotland) Regulations.

Decision

- 1) To note the audited accounts and the Auditor's opinion in the audit certificate;
- 2) To refer the Audited Annual Accounts to the Partnership Board for its approval.

(b) Public Service Reform (Scotland) Act 2017/18

The Committee considered a report which advised that the Scottish Regional Transport Partnerships were included in the schedule of the Public Services Reform (Scotland) Act 2010. This required annual publication of certain information and the report outlined the information to be published.

Decision

- 1) To note the content of the material for publication under the Public Services Reform (Scotland) Act 2010 and detailed in appendix 1 of the report.
- 2) To explore providing further information under the sustainable economic growth heading.

(c) Invoice Payment Procedure

As part of the findings of the 2017/18 Annual Audit, the Partnership's External Auditor had recommended the existing arrangements in relation to certification and authorisation of invoice payments should be revised to ensure separation of

officer and member roles to facilitate effective challenge and scrutiny. A new approach was proposed to address the Auditor's recommendation.

Decision

To approve the amended "Authorisation of Invoices for Payment - Certifying Officers and Limits of Authority" as detailed in Appendix 2 of the report and refer the report to the Partnership Board.

A7. DRAFT ANNUAL REPORT 2017/18

Details were provided of the performance of SEStran up to the end of the financial year 2018, by presenting a draft copy of the text proposed, to provide the basis of SEStran's Annual Report 2017/18.

The Committee suggested a number of changes to the Annual Report which officers agreed to reflect in the final draft.

Decision

- 1) Subject to the suggestions at the meeting being incorporated to the final version, to note that the draft Annual Report 2017/18 would be presented to the Partnership Board for approval before publication by end of September 2018.
- 2) To recommend that the finalised Annual Report should be submitted to each of the member councils.

A8. INFORMATION SECURITY POLICY UPDATES

An update was provided on the work being undertaken on information governance and in preparation for the upcoming Cyber Essentials Assessment on the 24th September 2018, officers had been reviewing and amending SEStran's policies to improve its cyber resilience protocols.

It was highlighted that there was a 2018 Data Protection Act recently introduced and this should be reflected in the policy.

Decision

To approve the changes to the policy for immediate implementation.

A9. DATE OF NEXT MEETING

10:00am on Friday 23 November 2018 in Mandela Room, City Chambers, Edinburgh, EH1 1YJ

Financial Planning 2019/20

1 Purpose of report

- 1.1 The purpose of this report is to provide an update to Performance and Audit Committee on the financial planning being progressed for the Partnership for the 2019/20 revenue budget.

2 Main report

Scottish Government Draft Budget 2019-20

- 2.1 The provisional Local Government Finance Settlement for 2019/20 is anticipated to be announced in mid-December 2018. Funding is expected to cover one year only.

SESTRAN – Financial Planning 2019/20

- 2.2 Revenue budget planning is being progressed for 2019/20. Planning assumptions have been updated for:
- 2.2.1 estimated staff recharges to projects in 2019/20. Staff recharges to projects are forecast to reduce to £100,000 from £136,000 in 2018/19, as EU project activity decreases;
 - 2.2.2 pay award, estimated at 3% (£10,742) and pay increment provision (£8,148);
 - 2.2.3 an increase of 0.5% in the employer's Pension Fund contribution rate, following the Lothian Pension Fund triennial actuarial valuation (£3,494);
 - 2.2.4 other budget planning assumptions required for 2019/20.
- 2.3 Scottish Government grant funding has remained fixed at £782,000 since 2011/12. Council requisitions reduced by 5% in 2017/18 from £200,000 to £190,000
- 2.4 An analysis of the proposed core revenue budget for 2019/20 is shown in Appendix 1. All proposed Projects activity for 2019/20 is shown in Appendix 2.
- 2.5 Appendix 3 shows all budgeted expenditure and income since 2011/12. For 2019/20, external income of £293,000 is anticipated to fund 23% of proposed

expenditure. Financial planning is currently based on the Partnership receiving £782,000 grant from the Scottish Government and £190,000 from constituent council requisitions. This would represent a stand-still in Council requisitions.

- 2.6 Based on these estimates, Scottish Government grant funding would meet 62% of proposed expenditure with Council requisitions funding 15% of expenditure.
- 2.7 In developing the revenue budget for 2018/19, the Partnership requested options to reduce Council requisitions by 5% (£9,500), 10% (£19,000) and 15% (£28,500). In setting the 2019/20 revenue budget, the Partnership did not approve a reduction in Council requisitions, maintaining these at a stand-still level of £190,000.
- 2.8 2018/19 Council requisitions are shown in the table below.

Council	Requisition
Clackmannanshire	£6,192
East Lothian	£12,552
Edinburgh	£61,160
Falkirk	£19,220
Fife	£44,658
Midlothian	£10,685
Scottish Borders	£13,811
West Lothian	£21,722
Total	£190,000

- 2.9 Council Chief Officers reviewed and accepted the financial planning assumptions at their meeting on 6th November 2018.
- 2.10 A risk assessment is included at Appendix 4.

3 Next Steps

- 3.1 Following review by Performance and Audit Committee, a report on financial planning for 2019/20 will be presented to the Partnership Board on 7th December 2018 for review.
- 3.2 A revenue budget for 2019/20 will be presented to the Partnership Board for approval in March 2019.

4 Recommendation

- 4.1 Performance and Audit Committee is recommended to:
- 4.1.1 note this update on the financial planning assumptions being progressed for the Partnership for the 2019/20 revenue budget and
- 4.1.2 advise of any comments on financial planning assumptions for 2019/20, prior to a report being presented to the Partnership Board on 7th December 2018.

Appendix Appendix 1 – Indicative Core Revenue Budget 2019/20
 Appendix 2 - Projects - Proposed Activity 2019-20
 Appendix 3 - SEStran Budget 2011/12 – 2019/20 (indicative)
 Appendix 4 - Risk Assessment

Contact/tel/Email Iain Shaw
 Telephone 0131 469 3117
 iain.shaw@edinburgh.gov.uk

Wards affected All
Background Nil
Papers

Policy Implications	There are no policy implications arising as a result of this report.
Financial Implications	At this stage, there is no financial commitment arising from this report.
Equalities Implications	There are no equalities implications arising as a result of this report.
Climate Change Implications	There are no climate change implications arising as a result of this report.

Indicative Core Revenue Budget 2019/20

	Approved Budget 2018/19	Indicative Budget 2019/20
	£000	£000
Employee Costs		
Salaries	347	363
National Insurance	37	39
Pension Fund	60	69
Recharges –EU	(136)	(100)
Training & Conferences	10	10
Interviews & Advertising	2	2
	320	383
Premises Costs	16	16
Transport	9	9
Supplies and Services		
Marketing	20	20
Communications & Computing	45	45
Communications – Routewise Technology (Novus FX)	45	45
Printing, Stationery & General Office Supplies	10	7
Insurance	4	4
Equipment, Furniture & Materials	1	1
Miscellaneous Expenses	3	3
	128	125
Support Services		
Finance	25	25
Legal Services / HR	7	7
	32	32
Corporate & Democratic		
Clerks Fees	15	12
External Audit Fees	10	11
Members Allowances and Expenses	1	1
	26	24
Interest	0	0
Total Gross Expenditure	531	589
Funding:		
Scottish Government Grant	(341)	(399)
Council Requisitions	(190)	(190)
Total Funding	(531)	(589)

Appendix 2

Projects - Proposed Activity 2019-20

Service	2018/19 Net Expenditure	2019/20 Expenditure	2019/20 Income	2019/20 Net Expenditure	Activity
Sustainable Travel	£243,000	£118,000	-	£118,000	Fund to lever-in additional investment towards sustainable travel from organisations prepared to invest in initiatives promoting sustainable travel, consistent with the RTS.
Urban Cycle Network	-	£200,000	£200,000	-	Development of cross boundary cycle networks funded 100% by Sustrans.
Urban Cycling Officer	£32,000	£32,000	-	£32,000	Cycling officer and Cycling Scotland representation
Regio – mob	£10,000	£16,000	£13,000	£3,000	85% EU funded
Share–north	£30,000	£45,000	£23,000	£22,000	50% EU funded
Surflogh	£50,000	£60,000	£30,000	£30,000	50% EU funded
Equalities Action Forum	£10,000	£10,000	-	£10,000	Pursuing initiatives arising from the Equalities Action Forum.
Regional Transport Strategy Development		£65,000	-	£65,000	Re-draft of RTS – external expertise.
RTPI	£66,000	£60,000	£27,000	£33,000	Maintenance (£60,000). Bus Operators income (£27,000).
RTPI Development		£50,000	-	£50,000	
ECOMM contingency		£20,000	0	£20,000	
Total	£441,000	£676,000	£293,000	£383,000	

SEStran Budget 2011/12 – 2019/20 (indicative)

	11/12	12/13	13/14	14/15	15/16	16/17	17/18	18/19	19/20
	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000
Core	467	461	463	465	550	551	478	531	589
Projects	791	709	504	1,076	2,384	725	510	614	566
RTPI	110	117	222	286	230	344	339	108	110
Total Budget	1,368	1,287	1,189	1,827	3,164	1,620	1,327	1,253	1,265
External Funding									
EU Grants	313	245	146	233	131	152	95	139	66
Other income	48	60	61	266	1,051	486	260	142	227
Bus Investment Fund	0	0	0	346	1,000	0	0	0	0
Total External Funding	361	305	207	845	2,182	638	355	281	293
Scottish Government	782	782	782	782	782	782	782	782	782
Council Requisition	225	200	200	200	200	200	190	190	190
Total Funding	1,368	1,287	1,189	1,827	3,164	1,620	1,327	1,253	1,265

Risk Assessment

Risk Description	Existing Controls
<p>Pay awards The proposed budget makes provision for a pay award of up to 3% in 2019/20. An uplift of 1% in pay award equates to an increase of £3,580.</p>	<p>Alignment with Scottish Local Government pay award.</p>
<p>Staff recharges – EU Projects The proposed budget assumes that £66,000 of staff time can be recharged to 3 EU Projects – Share-north, Regio-mob and Surflogh. There is a risk this may not be achievable.</p>	<p>Any shortfall in employee cost recharges will be offset by a corresponding reduction in Projects Budget expenditure.</p>
<p>Inflation There is a risk that the proposed budget does not adequately cover price inflation and increasing demand for services.</p>	<p>Allowance made for specific price inflation. Budgets adjusted in line with current cost forecasts.</p>
<p>Delays in payment of grant by the EU - results in additional short-term borrowing costs.</p>	<p>SEStran grant claims for EU funded projects are submitted in compliance with requirements of EU processes to ensure minimal delay in payment. Ongoing monitoring of cash flow will be undertaken to manage exposure to additional short-term borrowing costs.</p>
<p>Funding Reductions Reduction in funding from Scottish Government and/or council requisitions.</p> <p>There is a risk that current levels of staffing cannot be maintained due to funding constraints and that the Partnership will incur staff release costs.</p>	<p>Continue to seek to source external funding.</p> <p>Recruitment control and additional sources of external funding for activities aligned to the Partnership's objectives to supplement resources.</p>

Treasury Management – Mid-Term Review

1. INTRODUCTION

1.1 The purpose of this report is to review the investment activity undertaken on behalf of the Partnership during the first half of the 2018/19 Financial Year.

2. BACKGROUND

2.1 In accordance with Investment Regulations in Scotland the Partnership adopted the appropriate Codes of Practice and approved an Annual Investment Strategy at its meeting on 2nd March 2018.

3. MID TERM REVIEW – ANNUAL INVESTMENT STRATEGY

3.1 As approved in the Partnership’s Investment Strategy, the Partnership continues to maintain its bank account as part of the City of Edinburgh Council’s group of bank accounts. Any cash balance is effectively lent to the Council but is offset by expenditure undertaken by the City of Edinburgh Council on behalf of the Board. Interest is given (charged) on month end net indebtedness balances between the Council and the Board in accordance with former Local Authority (Scotland) Accounts Advisory Committee’s (LASAAC) Guidance Note 2 on Interest on Revenue Balances (IoRB). The methodology will continue to be used until new guidance on the treatment of interest charges is made available. In line with recent short term interest rates, the investment return/charge continues to be low, but the Board gains security from the counterparty exposure being to the City of Edinburgh Council. Net end of month balances for the first half of the year were:

Opening Balance	-£60,916.43
April	-£35,410.42
May	-£46,362.76
June	£100,647.04
July	£182,922.84
August	£189,314.73
September	£250,794.84

3.2 Although interest is not calculated until March, in line with the withdrawn guidance note, the interest rate averaged 0.521% during the first half of the financial year. This is also the currently projected interest rate, if the Bank of England alters the UK Bank Rate then the figure may change marginally.

4. RECOMMENDATIONS

4.1 It is recommended that the Committee notes the investment activity undertaken on its behalf.

Hugh Dunn
Treasurer

Appendix None

Contact/tel Iain Shaw, Tel: 0131 469 3117
 (iain.shaw@edinburgh.gov.uk)

Policy Implications	None
Financial Implications	None
Equalities Implications	None
Climate Change Implications	None



Risk Framework

1. INTRODUCTION

1.1 The purpose of this report is to provide the Committee with its six monthly update on the risk register, which is an integral part of SEStran's Risk Management Framework.

2. BACKGROUND

2.1 SEStran has been using a Risk Register to record, report and evaluate risks within the organisation since May 2008. All risks are reviewed regularly by the relevant staff and Appendix 1 to this report is the latest version SEStran Risk Register, highlighting the key risks.

2.2 The Committee should note that all changes made to the register since the June meeting are highlighted in red.

3. RECOMMENDATIONS

3.1 The Committee are asked to comment on the contents of the report and;

3.2 Note that a final version of the Risk Register will be presented to Partnership Board for noting.

Angela Chambers
Business Manager
November 2018

Appendix 1: SEStran Risk Register

Policy Implications	None
Financial Implications	None
Equalities Implications	None
Climate Change Implications	None

Risk Number	Risk Detail	Risk Category	Gross Risk Assessment				Planned Response/Mitigation	Net Risk Assessment				Risk After Mitigation	Date and Owner			
			Probability	Impact	Risk Score	Probability		Impact	Risk Score							
R001	Policy Appraisal: Poor Quality Lack of consultation	Strategic	1	Remote	3	Moderate	3	Low	1	Remote	2	Minor	2	Low	June November 2018 Partnership Director Head of Programmes	
R002	Project Appraisal and Delivery: Incomplete or of poor quality Late Delivery	Reputational	2	Unlikely	4	Major	8	Medium	2	Unlikely	3	Moderate	6	Low	June 2018 November 2018 Head of Programmes	
R003	Digital/IT: Server failure Comms failure: phones Website	System and Technology	3	Possible	4	Major	12	Medium	3	Possible	2	Minor	6	Low	June 2018 November 2018 Business Manager	
R004	Reputation: Regard by the public and stakeholders. Negative or inaccurate media coverage leading to misrepresentation of SEStran position	Reputational	3	Possible	3	Moderate	9	Medium	3	Possible	2	Minor	6	Low	Work ongoing to deliver a new brand for the Partnership. Low. Partnership staff continue to promote and advocate activities via speaking, writing or wider networking	June 2018 November 2018 Partnership Director Head of Programmes

R005	Statutory Duties: Failure to adhere to duties described in legislation and related documentation	Legal and Regulatory	1	Remote	4	Major	4	Low	Audit approved systems of governance in place. External and internal audits carried out.	1	Remote	2	Minor	2	Low	Low. Regular monitoring and programming of statutory duties is undertaken by the Partnership Director, Head of Programmes and Business Manager. Audited by third parties.	June 2018 November 2018 Partnership Director Head of Programmes
5.1	Restricted ability to undertake RTS re-write: Inadequate senior staff resourcing available due to continued absence of Partnership Director	Strategic	4	Probable	3	Moderate	12	Medium	Resolve absence as soon as possible and appoint external resources as required.	2	Unlikely	2	Minor	4	Low	Low.	November 2018 Head of Programmes
R006 6.0	Financial: Significant deviation from budgeted spend	Financial	2	Unlikely	3	Moderate	6	Low	The Partnership's Financial Rules do not permit the Partnership's spending (whether revenue or capital) to exceed its available budget. Budget and spend is monitored on a monthly basis by SEStran officers, using financial information provided by City of Edinburgh Council (CEC) through the Partnership's Financial Services Service Level Agreement with CEC and supported by qualified accounting staff of CEC. Action is taken by Partnership officers to develop alternative savings measures, including options for development of contingency arrangements, if required and subject to approval by the Partnership. The Partnership's Financial Rules require reporting of financial performances to the Partnership Board on a quarterly basis.	1	Remote	2	Minor	2	Low	Low. In October 2017, the Scottish Government commenced consultation to give consideration to RTPs being given powers to of carry forward of expenditure across financial years. Transport Bill currently going through parliament includes section on RTPs carrying reserves.	June 2018 November 2018 Partnership Director Head of Programmes
6.1	Pay awards: Provision for a pay award of up to 3% in 2018/19 2019/20 based on alignment with SG pay policy. Each 1% increase equates to an increase in £3,400 £3,580	Financial	4	Probable	1	Insignificant	4	Low	Alignment with Scottish Local Government pay policy	4	Probable	1	Insignificant	4	Low	Tolerate	June 2018 November 2018 Partnership Director Head of Programmes

6.2	Staff recharges - EU projects: There is a risk that opportunities for additional funding through income for EU projects may reduce. The proposed budget assumes that £66,000 of staff time can be recharged to 3 EU Projects - Share-north, Regio-mob and Surflogh. There is a risk this may not be achievable	Financial	5	Highly Probable	3	Moderate	15	High	Any shortfall in employee recharges will be managed through corresponding reductions in Projects Budget expenditure. EU projects represent a low percentage of the budget.	4	Probable	2	Minor	8	Medium	Medium: Other funding sources will continue to be pursued.	June 2018 November 2018 Partnership Director Head of Programmes
6.3	Inflation: There is a risk that the approved proposed budget does not adequately cover price inflation and increasing demand for services.	Financial	5	Highly Probable	1	Insignificant	5	Low	When setting the revenue budget, allowance was made for specific price inflation and budgets adjusted in line with current cost forecasts.	5	Highly Probable	1	Insignificant	5	Low	Tolerate	June 2018 November 2018 Partnership Director Head of Programmes
6.4	Delays in payment of external grants result in additional short-term borrowing costs.	Financial	3	Possible	2	Minor	6	Low	SEStran grant claims for projects are submitted in compliance with grant funding requirements to ensure minimal delay in payment. Ongoing monitoring of cash flow is undertaken to manage exposure to additional short-term borrowing costs.	3	Possible	1	Insignificant	3	Low	Low: Grant submission procedures in place, along with financial planning.	June 2018 November 2018 Partnership Director Head of Programmes
6.5	Sources of additional income to the Partnership may become constrained in the current economic climate and/or due to changes in operating arrangements.	Financial	4	Probable	3	Moderate	12	Medium	Active Travel funding a high priority for Government with funds consistently available to bid for. Revenue budget for 20 18 /19/20 developed to take account of most likely level of external income in 20 18 /19/20.	4	Probable	3	Moderate	12	Medium	Tolerate: Adapt expenditure accordingly	June 2018 November 2018 Partnership Director Head of Programmes

6.6	Funding reductions: Future reductions in funding from Scottish Government and/or council requisitions.	Financial	3	Possible	4	Major	12	Medium	Scottish Government and constituent council funding is confirmed for 2018/19. A financial planning report for 2019/20 will be presented to the Partnership Board in Autumn 2018. Subject to decision by the Partnership Board, the draft budget for 2019/20 will then be prepared, based on anticipated funding for Scottish Government grant and council requisitions. The Partnership will continue to source and develop external funding.	3	Possible	4	Major	12	Medium	Tolerate: Manage organisation in accordance with available funding but ability of organisation to deliver RTS objectives will inevitably be dictated by available funding.	June 2018 November 2018 Partnership Director Head of Programmes
6.7	The deficit on the staff pension fund could lead to increases in the employers pension contribution	Financial	3	Possible	3	Moderate	9	Medium	The Partnership continues to benefit from Lothian Pension Fund's contribution stability mechanism as part of the Fund's strategy to manage potential volatility in employer contribution rates. Following the Lothian Pension Fund Triennial Actuarial Review of 2017, proposed Partnership contribution rates have been advised until 2020/21	2	Unlikely	3	Moderate	6	Low	Tolerate	June 2018 November 2018 Partnership Director Head of Programmes
6.8	Current staffing levels cannot be maintained due to funding constraints and the Partnership incurs staff release costs	Financial	3	Possible	3	Moderate	9	Medium	The Partnership Director Head of Programmes continues to seek additional sources of funding for activities aligned to the Partnership's objectives to supplement resources Recruitment control measures in place.	3	Possible	2	Minor	6	Low	Low: Other funding sources will continue to be pursued.	June 2018 November 2018 Partnership Director Head of Programmes
6.9	Accommodation: Occupancy Agreement with SG due for renewal February 2019. SG may not renew and alternative premises required at market rates.	Financial	3	Possible	3	Moderate	9	Medium	A notice period of 12 months must be served by each party under the current occupancy agreement. SEStran engaging with SG estates to secure renewal.	3	Possible	3	Moderate	9	Medium	Medium: Tolerate and seek to secure renewal.	November 2018 Business Manager

6.10	ECOMM: Agreement to commit to ECOMM on the basis of being cost neutral. Income depends on number of delegates attending conference.	Financial	3	Possible	3	Moderate	9	Medium	In association with EPOMM, marketing effort is currently underway to ensure adequate attendance is achieved. Further marketing will continue	3	Possible	2	Minor	6	Low	Low	November 2018 Head of Programmes
R007	HR: Pension Liabilities Redundancy Contingency Inappropriate Behaviour Staffing/Incapacity	People	3	Possible	3	Moderate	9	Medium	SLA in place with Falkirk Council to provide specialist HR advice as required and is under regular review. Legal advice is provided, when required, through a framework contract, which is in place until 2019.	1	Remote	2	Minor	2	Low	Tolerate	June 2018 November 2018 Partnership Director Head of Programmes
R008	Corporate: Removal of RTPs as part of the review of the National Transport Strategy.	Strategic	4	Probable	4	Major	16	High	RTPs jointly lobbying Transport Minister. SEStran is engaged in the NTS2 review, representing all RTPs on the NTS2 Review Board and has sought and received assurances around retention of functions and undertakings transfer from Scottish Ministers.	4	Probable	4	Major	16	High	High: Tolerate and seek to influence outcomes at every opportunity	June 2018 November 2018 Partnership Director Head of Programmes
R009	EU Exit: Impact on learning and funding	Financial	5	Highly Probable	3	Moderate	15	High	The Partnership has sought to engage in as many relevant EU projects and funds as it can whilst UK authorities are allowed to access these funds. This should mitigate the short-term impact of any EU Exit negotiated and implemented. Timescales for effective exit remain unclear	5	Highly Probable	3	Moderate	15	High	High: The risk remains high as there is significant uncertainty around the medium (3-5year) horizon for access to funds. Opportunity for renewed collaborative working with EU following Brexit to be explored.	June 2018 November 2018 Head of Programmes
R010	Governance: Senior Officer absence Succession Planning Business Continuity	People	3	Possible	3	Moderate	9	Medium	Ensure Governance Scheme now contains adequate provision. Staff structure in place and Head of Programmes assigned delegated powers in Directors absence. Business Continuity Plan in place. Sustained absence of Partnership Director continuing to limit staff resourcing.	3	Possible	3	Moderate	9	Medium	Tolerate	June 2018 November 2018 Partnership Director Head of Programmes

R011	Third party Service Level Agreements: Failure or inadequacy of service	People	2	Unlikely	2	Minor	4	Low	Service Level Agreements in place for Financial Services, HR, Legal and Insurance services. Reviewed annually by senior officers. Subject to independent audit scrutiny.	2	Unlikely	2	Minor	4	Low	Tolerate	June 2018 November 2018 Partnership Director Head of Programmes
------	--	--------	---	----------	---	-------	---	-----	--	---	----------	---	-------	---	-----	----------	---

Likelihood		Severity		Risk Score	At Risk
1	Remote	1	Insignificant	1	System and Technology
2	Unlikely	2	Minor	2	Reputational
3	Possible	3	Moderate	3	Strategic
4	Probable	4	Major	4	Financial
5	Highly Probable	5	Catastrophic	5	Governance
				6	Specific Operational
				8	External
				9	Legal and Regulatory
				10	People
				12	Physical
				15	
				16	
				20	
				25	

Impact				
Descriptor	Score	Health and Safety Impact	Impact on Service and Reputation	Financial Impact
Insignificant	1	No injury or no apparent injury.	No impact on service or reputation. Complaint unlikely, litigation risk remote.	Loss/costs up to £5000.
Minor	2	Minor injury (First Aid on Site)	Slight impact on service and/or reputation. Complaint possible. Litigation possible.	Loss/costs between £5000 and £50,000.
Moderate	3	Reportable injury	Some service disruption. Potential for adverse publicity, avoidable with careful handling. Complaint expected. Litigation probable.	Loss/costs between £50,000 and £500,000
Major	4	Major injury (reportable) or permanent incapacity	Service disrupted. Adverse publicity not avoidable (local media). Complaint expected. Litigation expected.	Loss/costs between £500,000 and
Catastrophic	5	Death	Service interrupted for significant time. Adverse publicity not avoidable (national media interest.) Major litigation expected. Resignation of senior management/directors.	Theft/loss over £5,000,000

Impact					
Catastrophic	5	10	15	20	25
Major	4	8	12	16	20
Moderate	3	6	9	12	15
Minor	2	4	6	8	10
Insignificant	1	2	3	4	5
Likelihood	Remote	Unlikely	Possible	Probable	Highly Probable

Likelihood		
Descriptor	Score	Example
Remote	1	May only occur in exceptional circumstances.
Unlikely	2	Expected to occur in a few circumstances.
Possible	3	Expected to occur in some circumstances.
Probable	4	Expected to occur in many circumstances.
Highly Probable	5	Expected to occur frequently and in most circumstances.

Maintain existing measures in place.
Review control measures. Even if the risk is low, there may be things that can be done to bring the risk rating down to minimal.
Improve control measures. If the Rating Action Band is greater than 3 or 4 then a review of the existing safety/control measures needs to be done, where additional
Improve control measures immediately and consider stopping work activity until risk is reduced.

HR Policy Review

1. INTRODUCTION

- 1.1 The purpose of this report is to advise the Committee that a review of SEStran's Human Resources policies and procedures has commenced and work will be ongoing over the remainder of the financial year to complete the exercise.
- 1.2 Three policies were initially identified by SEStran's HR Adviser as requiring revision; these have now been amended to ensure that SEStran meets employment legislation requirements and continues to apply best practice.

2. CHANGES TO POLICIES AND PROCEDURES

- 2.1 The following is a summary of the changes made to policies:

- 2.1.1 **Adverse Weather Policy (Appendix 1)**

Reference added to Met Office weather system.

- 2.1.2 **Grievance Policy (Appendix 2)**

Minor change to provide clarification regarding representation.

- 2.1.3 **Drug and Alcohol Policy (Appendix 3)**

Inclusion of reference to New Psychoactive Substances (NPS), sometimes known as legal highs and guidance on use and storage on prescribed/over the counter medication in the workplace.

3. RECOMMENDATIONS

- 3.1 It is recommended that the Committee approves the updated policies as outlined in section 2 for immediate implementation.

Angela Chambers
Business Manager
November 2018

Appendix 1 Adverse Weather Policy

Appendix 2 Grievance Policy

Appendix 3 Drug and Alcohol Policy

Policy Implications	As outlined in the report
Financial Implications	None
Equalities Implications	As outlined in the report
Climate Change Implications	None



ADVERSE WEATHER POLICY

DOCUMENT VERSION CONTROL

Date	Author	Version	Status	Reason for Change
Dec 2007	SEStran	1.0	FINAL	Policy Adopted
Oct 2017	SEStran	1.1	FINAL	Adoption of version control
Nov 2018	SEStran	1.2	FINAL	Minor changes to principles

INTRODUCTION

Recent years have seen some severe weather conditions, which have adversely affected people's ability to get in to work by whatever transport route they use. This policy has therefore been developed to cover those kinds of situations other than the norm, such as heavy snow falls, flooding or severe weather warnings, etc. and to ensure as far as possible that our staff are treated fairly and consistently.

1. Scope of the Policy

This policy applies to all employees of SEStran

2. Principles

In implementing this policy, consideration would be given to weather alerts issued by the Met. Office.

All employees are expected to make a genuine effort to report for work at the recognised start time, which could entail having to make special arrangements to ensure that they can attend each day. If an employee is late or cannot reach work, they must telephone their line manager as soon as possible to explain the situation

In discussion with the Partnership Director, consideration may be given to the employee working from home.

3. Application

- First day in any unbroken period of bad weather
Where an employee arrives late or leaves early, or is unable to attend work for their contracted hours and the Partnership Director is satisfied with the employee's explanation, the employee will be granted paid leave for the period absent from work.
- Subsequent days of bad weather
If the employee is still unable to report for work on subsequent days, it is at the discretion of the Partnership Director to grant paid leave, annual leave or unpaid leave

4. Deterioration of weather while at work

Should a member of staff request to leave early due to weather conditions becoming worse and their desire to head for home before it possibly becomes too bad to travel, the Partnership Director would be expected to give this favourable consideration. Any time taken under these circumstances would be expected to be taken as un/paid leave

5. Closure of offices

Should the Partnership Director decide to close the SEStran Offices, staff will be paid for their normal contracted hours from when staff have been 'sent home'

6. Care of a Dependant

Should, for example, Schools be closed and if no immediate alternative arrangements can be made for the care of a dependant, reference should be made to our Special Leave Policy.

7. Review

This document will be reviewed annually by SEStran.



GRIEVANCE POLICY & PROCEDURE

DOCUMENT VERSION CONTROL

Date	Author	Version	Status	Reason for Change
Oct 2006	SEStran	1.0	FINAL	Policy Adopted
Jun 2009	SEStran	1.1	FINAL	Adapted to comply with the repeal of statutory disciplinary and grievance procedures, April 2009
Oct 2017	SEStran	1.2	FINAL	Adoption of version control
Nov 2018	SEStran	1.3	FINAL	Minor changes to representation

Introduction

This procedure sets out the stages to be followed and the timeframe involved. The policy and procedure aims to ensure the successful resolution of an employee's grievance.

The key objectives of the policy are:

- To provide employees with a course of action should they have a complaint
- To provide points of contact and timescales
- To ensure all employees to receive the same fair treatment
- To comply with employment legislation and the ACAS Code of Practice on Disciplinary & Grievance Procedures.

Definition

A formal grievance can be concerned with how the employee considers they have been treated by SEStran or managers acting on its behalf. It can also be concerned with a complaint an employee has in accordance with SEStran's Equal Opportunities & Dignity at Work Policy.

Informal Resolution

Employees can raise any issues with their line manager on an informal basis, either orally or in writing. Open communication can often be the quickest and best way of resolving grievances, depending on the issues involved. However if any employee feels that their grievance has not been resolved to their satisfaction through the informal approach then they can proceed to the formal procedure as detailed below.

Formal Procedure

The following procedure should be followed by an employee submitting a formal grievance:

Step 1 - The Statement of Grievance

The employee should inform their line manager of their grievance in writing. This will be acknowledged within 5 working days. If the grievance is in respect of action taken by their line manager then the grievance may be submitted to the Partnership Director who will determine the appropriate person to take the matter forward.

Step 2 - The Grievance Hearing

The employee will be written to within 5 working days of receipt of the letter to invite them to a meeting to discuss the grievance, and will be advised of their right to be accompanied. All workers have the right to be accompanied at a grievance hearing by either a fellow worker or a Trade Union Official. The employee must take all reasonable steps to attend this meeting.

After the meeting the chair person will notify the employee in writing within 5 working days of the outcome of this meeting.

Step 3 - The Appeal

The employee has the right to request an appeal meeting, within 10 working days of receipt of the outcome of the Grievance Hearing, if they consider the grievance has not been satisfactorily resolved. Where possible, the appeal will be held by a more senior manager than the person who heard the initial grievance. Again the employee has the right to be accompanied. They will be notified in writing of the final decision within 5 working days.

Record Keeping

Written records will be kept for future reference. These will be treated as confidential and kept in accordance with the Data Protection Act 1998.

Guidance Notes

Attached are guidelines on the witnesses, timescales and format of hearings. Please see Appendix 1.

Review of Procedures

SEStran will undertake a review of this document as appropriate. However, either the employer or trades unions may propose amendments at any time, by giving notice in writing to the Partnership Director.

This Policy & Procedure has been equality impact assessed and no adverse impact has been identified.

APPENDIX 1

GUIDANCE – FOR MANAGERS and EMPLOYEES

Role of Advisers

To ensure a consistency of approach, fairness throughout and to comply with the principles of natural justice it is important that suitable advice and guidance is available as required during the grievance handling process.

With these objectives in mind, a Human Resources Adviser may be in attendance to provide advice to the Chairperson of the Grievance/Appeal Panel on the correct procedures to be adopted and any implications arising from the grievance itself.

Employee Representation

Employees have the right to be represented during a formal grievance hearing by either a fellow worker or a Trade Union Official ~~a representative of their choice~~. Employees must be given the right to have a representative present. If the employee attends the hearing without a representative, it must be confirmed first of all that he/she has been advised of the right to be accompanied. If the employee advises that he/she has not, the Chairperson should ask if he/she wants representation. If the employee advises that he/she does not want to be accompanied, this should be recorded prior to the meeting starting. Should the employee confirm that he/she does want to be accompanied, agreement should be made to adjourn in order that representation can be arranged.

Should the employee attend the meeting having not been able to arrange representation in time, again an adjournment should be made in order that the employee can organise suitable representation. Should the employee be unable to arrange for the representative of their choice to be available, it is reasonable to suggest that arrangements are made for a substitute.

Witnesses

Employees have the right to call witnesses in support of their grievance. Any request must be addressed to the chairperson of the hearing and be made as soon as possible but at least one day before the grievance hearing. Employees called as witnesses will receive full pay and on the production of appropriate receipts, reasonable travelling expenses, if the time off is agreed in advance with their line manager.

All witnesses should be offered the right to be accompanied. Witnesses should be asked not to discuss the matter with any other colleagues. The employee or representative requesting the attendance of the witness should ensure that the witness is made fully aware of their role and the procedures which are being followed.

Timescale

Where it is not possible to handle the grievance within the specified time period, it may be necessary, by mutual consent, to extend the timescales. This should be confirmed in writing by the manager handling the case, stating the reasons for the delay and the agreed extension to the timescale. In the event that there is no prior agreement, or a manager fails to meet the extended timescale, the employee may register a “failure to agree” and opt to proceed to the next stage in the grievance procedure.

Natural Justice & Equity

If, in exceptional circumstances, due to the nature of the grievance, it is decided that the line manager is not the most appropriate person to deal with the matter, discussions should take place with the Partnership Director to determine a suitable alternative. The employee will be notified in writing of this decision not later than 5 working days after the formal submission of the grievance. Thereafter, the grievance will be heard in accordance with Stage 2 of the procedure in the first instance.

In the event that the grievance is considered to be about or to involve the immediate line manager then the grievance should be addressed to the Partnership Director. If however the grievance relates to the Partnership Director, the matter should be referred to the SEStran Human Resources Adviser who will advise as to how the matter should be progressed.

No manager who has been party to an earlier decision will take part in any further stages in the grievance/appeal procedure.

Arranging a Grievance Hearing/Appeal

Following formal confirmation being received that an employee wishes to pursue a grievance/appeal it is essential that the hearing runs smoothly and to do so requires a number of considerations:

- It must be established that there is a genuine basis for the employee’s grievance/appeal and a mutual understanding of the reasons why it has arisen.
- It falls within the terms of the Grievance Policy and Procedure.
- It is being heard at the correct management level.
- Witness statements, as appropriate, have been received.
- Once it has been confirmed that there are grounds for a grievance/appeal the employee must be formally advised at each stage:
 - The date, time and location of the hearing.
 - The name, designation of the Chairperson.
 - Where appropriate, who will be presenting the management case
 - Who will be present as an adviser(s) to the chairperson.

It is also important to clearly establish:

- Who will represent the employee
- If there are any witnesses to be called and if so who they are and what their locus is.

The Chairperson is responsible for writing to the employee. All parties should be made aware that they are personally responsible for contacting any witnesses they may wish to call during the hearing.

In advance of the date of the hearing, the Chairperson should make sure that a room is available which is large enough to accommodate everyone in comfort and without interruption. Separate rooms should be available for each party to use prior to the hearing and during any possible adjournments.

Format of the Hearing

It is important that the hearing should be conducted in as relaxed a manner as possible as it can be a stressful experience for all participants.

The Chairperson will open the hearing, introduce the parties and be as welcoming and friendly as possible.

The Chairperson will explain the format of the proceedings and advise that it is only points raised in connection with the grievance/appeal that will be relevant and any other issues will be excluded.

1. Presenting the case

The Chairperson asks the employee or his/her representative, to present his/her case outlining specifically the reasons giving rise to the grievance/appeal.

At this point the opportunity is given to call witnesses to support the employee's evidence.

Thereafter, the Chairperson invites questions from the management representative, following on from which he/she may seek any point(s) of clarification.

Once satisfied that there are no further matters to be raised the Chairperson invites the management representative to put forward his/her case.

At this point the opportunity is given to call witnesses to support management's case.

The employee or his/her representative will have the right to question the management representative, after which again, the Chairperson can seek any point(s) of clarification.

The Hearing can be adjourned, where necessary, to clarify any point of detail of the grievance. If this happens, the Chairperson must state the period of adjournment.

Following completion of the submissions the Chairperson will invite the management representative in the first instance, to summarise his/her case. Followed thereafter by the employee or his/her representative.

2. Conclusion

The Chairperson then summarises the hearing and the main points of both presentations. The employee should be asked if he/she has been given a fair and reasonable opportunity to present their case. If the response is 'no' then the Chairperson must ask for a further explanation and take the stated concern into account when giving the decision. If the procedures have been followed this is highly unlikely to happen.

The hearing is then adjourned to allow the Chairperson to come to the decision. Even if during the course of the hearing the Chairperson has an idea of what the decision may be, it is advisable that the adjournment is used to allow the opportunity to consider the facts and seek advice from any Advisers present. It should be remembered that if a decision cannot be made during an adjournment, it can be put in writing within the agreed timescales.

3. Making the decision

All the facts of the case should be reviewed as they have been presented and consideration given to precedent with regard to the issues being considered as well as potential legal and human resources implications, with advice in this regard being sought as appropriate.

4. Reconvening the hearing

If the decision is being made immediately, the employee should be clearly advised of the decision and the reasons why it has been reached. This should be confirmed in writing within 5 working days. If more time is required a decision should be confirmed in writing within 5 working days once it has been reached. In the case of a Stage 2 meeting the employee must be made aware of their right to appeal against the decision and this must be done within 10 working days of receiving the written confirmation of the decision. There is no right of further appeal against the decision made at an appeal hearing.

5. Review

This document will be reviewed annually by SEStran.



DRUG & ALCOHOL POLICY

DOCUMENT VERSION CONTROL

Date	Author	Version	Status	Reason for Change
	SEStran	1.0	FINAL	Policy Adopted
Oct 2017	SEStran	1.1	FINAL	Adoption of version control
Nov 2018	SEStran	1.2	FINAL	Reference to NPS and storage of medicine

1. POLICY STATEMENT

SEStran is committed to improving the health, safety and wellbeing of its employees by introducing and promoting policies to encourage healthier lifestyles. SEStran recognises that substance misuse, which includes the misuse of alcohol and drugs, is primarily a matter of health and social concern. However, when problems relating to these issues arise in the workplace, SEStran as an employer must have strategies in place to deal with them and, where appropriate, offer help and support to employees.

2. INTRODUCTION

Legislation such as the Health and Safety at Work Act 1974 places a duty of care on SEStran to ensure the health, safety and welfare of all employees. This includes the need to address the issue of substance misuse in order to protect employees, their colleagues, and members of the public.

The aim of this policy is to have a positive and constructive approach to dealing with the misuse of alcohol and drugs in the workplace, encouraging identification of alcohol and drug related problems and offering support to employees who may be vulnerable.

Consumption of alcohol or the use of drugs can impair performance at work, increasing the likelihood of accidents or mistakes which may endanger colleagues or members of the public. In addition to the health and safety risks, substance misuse can result in absence, conduct or performance problems, impacting on attendance, timekeeping, behaviour and standard of work and the public image of SEStran.

Where substance misuse has been identified, either by the individual themselves or by a manager, SEStran recognises the need to support employees through a range of support options, whilst ensuring appropriate standards of attendance, conduct and performance are maintained.

3. SCOPE AND DEFINITION

For the purposes of this policy, substance misuse is defined as any alcohol or drug use, either intermittent or continual, which interferes with an employee's health and welfare, social interaction at work, conduct or work capability.

Within this Policy, the term 'drugs' will include:

- Any illegal drugs (Class A, B, and C)
- Any prescription drugs which have been prescribed for another person
- Any over-the counter remedy or prescription drug taken in excess of the stated dose
- Any substances or solvents including lighter gas refills, aerosols, glues, paint thinners, and correcting fluids, with the exception of usage by employees in the normal work context where appropriate risk assessments are in place
- New Psychoactive substances (NPS), sometimes known as legal highs

Formatted: Font: (Default) Arial

Formatted: Default, Justified, Right: -1.01 cm

The Drug and Alcohol Policy will apply equally to all employees, including temporary and casual employees.

4. USE OF ALCOHOL OR DRUGS

Employees reporting for work have a responsibility to be fit, capable and presentable to undertake their duties. If an employee is known to have or is believed to have consumed alcohol or drugs at any time during the working day, or is believed to be under the influence of alcohol or drugs at any time during the working day, the employee will normally be suspended from duty with pay for the remainder of that working day, and taken home if required. The matter will be discussed when the employee is in a fit state to resume work, normally the next working day.

If considered appropriate, the employee may subsequently be suspended from work to allow the matter to be formally investigated. Guidelines on suspension and investigation are contained within the SEStran's Disciplinary Policy and Code of Practice, but it should be noted that suspension does not constitute disciplinary action.

No employee is permitted to report for work, or be at work, under the influence of alcohol or drugs. Consumption of alcohol or drugs is not permitted at any time during normal working hours, including paid and unpaid breaks. However, in the case of celebrations or functions (e.g. retirements, Christmas etc), permission should be sought in advance from the Partnership Director to allow the consumption of alcohol.

Employees known to be or believed to be under the influence of alcohol or drugs at any time during the working day may be subject to disciplinary action, given the potential impact on health and safety, work performance and SEStran's public image. All circumstances will be taken into consideration, but it should be noted that the matter may constitute gross misconduct.

Employees who, at any time at work or during the working day:

- take drugs or are suspected or known to be under the influence of drugs
- are believed to be buying or selling drugs
- are in possession of unlawful drugs
- are suspected or known to have driven a vehicle or operated plant or equipment under the influence of alcohol

may be subject to disciplinary action which may be considered as gross misconduct. In addition to possible disciplinary action, employees may also be subject to criminal proceedings if it has been considered appropriate to involve the police.

Formatted: Font: (Default) Times New Roman

Formatted: Normal, Left, Indent: Left: 0 cm, Right: 0 cm

5. Prescribed /Over the Counter Medication

Employees should not store prescription medication in personal areas at work including desk drawers unless it is prescribed medication for personal use from a doctor. In this case, employees must ensure that it is stored in a safe place which is not accessible to others.

Employees should seek advice from their GP or Pharmacist, as appropriate, on whether any prescribed or over the counter medication may affect their ability to undertake their work duties and, if an employee is likely to suffer possible side effects from the medication, they should discuss this with their line manager. In such circumstances, advice should be sought from Occupational Health, where appropriate, to assess the employee's ability to undertake the full range of their duties whilst taking the prescribed medication.

Formatted: Outline numbered + Level: 1 + Numbering Style: 1, 2, 3, ... + Start at: 1 + Alignment: Left + Aligned at: 0 cm + Indent at: 0.63 cm

Formatted: Indent: Left: 0.63 cm

Formatted: Font: (Default) Times New Roman

Formatted: Normal, Left, Indent: Left: 0 cm, Right: 0 cm

5-6. RESPONSE TO USE OF ALCOHOL OR DRUGS

Use of alcohol or drugs may be identified by the employee themselves, by a manager, or as a result of a formal disciplinary, capability or absence process. Once use of alcohol or drugs has been identified, the next step depends on whether or not the employee has an alcohol or drug related problem.

In certain circumstances, an employee may have an allergic or adverse reaction to prescribed or over-the-counter medication which could affect how they perform at work. Such circumstances will not be considered under this policy.

If an employee attributes misconduct or capability problems to alcohol or drug dependency during a disciplinary, capability or absence meeting/hearing, that any formal action may be postponed, pending referral for assessment and/or treatment. Alternatively, discipline/capability/absence procedures and support (i.e. referral to a counselling agency) may run in tandem. It should be noted that formal disciplinary action may still be taken even where an employee indicates an alcohol or drug problem may exist. In all cases, an employee raising an alcohol or drug problem will be referred to Occupational Health. If an employee rejects the offer of referral for assessment and/or treatment or fails to adhere to support mechanisms put in place, the formal procedures shall continue.

5.4.6.1. WHERE AN ALCOHOL OR DRUG RELATED PROBLEM IS IDENTIFIED

Employees who volunteer themselves or are identified by their Manager as having problems which may be related to alcohol or drugs will be treated sympathetically and in confidence. The employee should be encouraged to seek help by accessing support and assistance available from the Occupational Health Service, Human Resources, their GP or other agencies including:

- Counselling and Support Service for Alcohol and Drugs (CSSAD)
- Alcoholics Anonymous
- Community Addiction Team
- Signpost Forth Valley
- Employee Counselling Service

Employees may attend these agencies either through self-referral or referral by a manager or other representative of SEStran. Where the employee is referred by a manager, the manager will be kept informed of progress via Occupational Health reports.

When an employee attends a recommended programme requiring absence from work, the co-operation of the manager is essential to assist the employee's recovery. Managers should therefore make every effort to permit time off with pay during the working day to attend for counselling and/or treatment.

Leave of absence to attend counselling during normal working hours will be authorised by the employee's Manager and payment made within the appropriate Conditions of Service (e.g. sick pay, special leave). Referral will not normally affect the employee's current job role unless they are unfit to fulfil their duties, there is an issue relating to safety, or if their duties conflict with the long-term resolution of the drug or alcohol problem.

Where an employee acknowledges he/she has an alcohol or drug-related problem, the offer to seek help and treatment is made on the understanding that:

- If the treatment necessitates long-term absence from work, employees will produce medical certificates to cover the period(s) of absence.
- If the employee is absent from work to undergo treatment or has been removed from certain duties for the duration of the treatment, on return or on completion of treatment, he/she will return to the same or equivalent job.

As drug and alcohol dependence can be a relapsing illness, employees' progress will be monitored by the Occupational Health Service in liaison with Managers assessing work performance and attendance.

If, following return to employment during or after treatment, work performance or conduct is again affected as a result of alcohol or drug related problems, each case will be considered on its own merits and, if appropriate, a further opportunity for assistance and treatment will be offered. In this respect, advice will be sought from the Occupational Health Service.

A programme of support/treatment does not, however, supersede the requirement for all employees to be free from the influence of alcohol or drugs on arrival at work and not to consume alcohol or drugs at any time during the working day, including paid and unpaid breaks.

If, on completion of treatment, the employee's standard of work performance or conduct remains unsatisfactory, or if it is satisfactory throughout the period of treatment only to lapse very soon thereafter, the employee will be subject to SEStran's Disciplinary or Capability Procedures.

5.2.6.2. WHERE SUPPORT IS REFUSED

Employees:

- who deny that alcohol or drug misuse is the cause of their problems
- who decline to accept the offer of referral for assessment and treatment
- who discontinue a course of treatment before its satisfactory completion
- whose level of work performance continues to be unsatisfactory after undergoing treatment

may be subject to SEStran's Disciplinary Policy and Code of Practice, or Capability Procedures, as appropriate.

5.3.6.3. NO ALCOHOL PROBLEM

An employee who is not considered to have an alcohol or drug-related problem, but who is found to be under the influence of alcohol or drugs or has consumed alcohol or drugs at any time during the working day, will be dealt with in accordance with SEStran's Disciplinary Policy and Code of Practice.

6.7. SUPPORT FOR MANAGERS

As misuse of alcohol or drugs may affect an employee's work performance, managers are responsible for enforcing this policy. Training is therefore available to assist managers in how to recognise these problems and how to implement the policy. An ongoing programme of workshops is available to managers and employees to raise awareness of the risks associated with alcohol consumption and risks associated with the misuse of drugs.

7.8. REVIEW

The Business Manager will undertake a review of this policy annually. ~~However, either the employer or trades unions may propose amendments at any time, by giving notice in writing to the Head of Human Resources~~