



### Regularity audit of HR policy application on alcohol and drugs

**Committee**            Audit and Standards

**Date of meeting**    30 August 2019

**Date of report**    21 August 2019

**Report by Assistant Chief Executive**

#### 1. Object of report

To advise the committee on the findings of a regularity audit of HR policy application on alcohol and drugs. This engagement is included in the annual Internal Audit plan for 2019/20.

#### 2. Background

At its meeting of 14 October 2011, the Personnel committee approved the policy on alcohol and drugs. This policy is subject to annual review.

The policy applies to anyone who performs work for or on behalf of the Partnership.

The main objectives of the policy are to:

- contribute to the provision of a safe and healthy workplace for SPT employees;
- provide safe and secure services for customers of SPT; and
- compliance with statutory regulations.

Each post has been risk assessed (high/medium/low) in accordance with this policy:

- high risk are employees performing safety critical tasks or where the role could affect health and safety of stakeholders;
- medium risk involves interaction with customers and/or are required to wear a uniform provided with SPT logo and/or could involve driving a vehicle;
- low risk falls out-with these categories.

A programme of unannounced *random* sample testing is undertaken each year for high/medium risk categories. *For cause* testing applies to all categories.

The objective of this engagement was to review the application of HR policy on alcohol and drugs. This engagement tested elements of the internal controls and mitigation against SPT 6: Security, as identified in the Corporate Risk register

### 3. Outline of findings

Engagement testing found that (as at June 2019) 80% of SPT employees are classified as high risk with a further 10% medium risk in accordance with policy guidelines.

Engagement testing found that that 'random testing' had been undertaken and 'for cause' testing has been applied. All employees tested in 2017/18 and 2018/19 had negative results (i.e. passed).

The engagement identified a requirement to refresh awareness of the policy on alcohol and drugs. There are some areas for improvement, and these areas have been addressed by three recommendations. HR management have agreed to implement these recommendations, which are currently being actioned.

### 4. Conclusions

The Audit and Assurance team has undertaken a regularity audit of HR policy application on alcohol and drugs. Three recommendations have been agreed from this engagement.

Key controls exist and are applied consistently and effectively in the majority of areas tested in this engagement. Reasonable assurance can be taken from the internal controls in place.

### 5. Committee action

The committee is asked to note the contents of this report and agree that the Audit and Assurance Manager submits a follow-up report on the implementation of the recommendations to a meeting in approximately six months.

### 6. Consequences

Policy consequences	<i>In accordance with the policy on alcohol and drugs.</i>
Legal consequences	<i>None.</i>
Financial consequences	<i>None.</i>
Personnel consequences	<i>None.</i>
Equalities consequences	<i>None.</i>
Risk consequences	<i>As detailed in the report.</i>

**Name** Valerie Davidson

**Name** Gordon MacLennan

**Title** Assistant Chief Executive

**Title** Chief Executive

For further information, please contact Iain McNicol, Audit and Assurance Manager on 0141 333 3195.

**Reasonable  
assurance**

## Agreed action plan: Regularity audit of HR policy application on alcohol and drugs

No.	Recommendation	Priority	Action Proposed	Lead Officer	Due date
1	<p><u>Policy on alcohol and drugs</u></p> <p>HR management should review the policy on alcohol and drugs in accordance with General Data Protection Regulations (GDPR) guidelines.</p> <p>Thereafter, HR management should re-issue application guidance and remind (raise awareness of policy to) anyone who performs work for or on behalf of the Partnership including agency workers, casual employees, contractors, employees and members.</p>	Medium	Agreed, policy will be reviewed, updated where appropriate and re-communicated.	HR Manager/ Senior HR & Systems Advisor	October 2019
2	<p><u>Management training</u></p> <p>HR management should request service management to review and refresh the list of alcohol and drug testers pertaining to their remit. Thereafter, a training needs assessment should be undertaken and a programme of training scheduled.</p>	Medium	Agreed. An e-mail will be issued to service management and thereafter a training programme scheduled.	HR Manager/ Senior HR & Systems Advisor	October 2019
3	<p><u>Random sample testing programme</u></p> <p>HR management should review the arrangements for alcohol and drugs testing to ensure that the prescribed programme of testing is completed in accordance with policy guidelines.</p>	Medium	The HR Manager will review the application of testing records on a quarterly basis.	HR Manager/ Senior HR & Systems Advisor	October 2019

**High:** A fundamental control that should be addressed as soon as possible;

**Medium:** An important control that should be addressed within three months;

**Low:** An issue which is not fundamental but should be addressed within six months to improve the overall control environment.