

Appendix 2 - Stress Risk Assessment Framework



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1 Management Standards: Possible Hazards and Control Measures

Role

Employees understand their role within the Council and whether the Council ensures that the person does not have conflicting roles.

The Standard is that:

- employees indicate that they understand their role and responsibilities; and
- systems are in place locally to respond to any individual concerns

States to be achieved:

- the Council ensures that, as far as possible, the different requirements it places upon employees are compatible;
- the Council provides information to enable employees to understand their role and responsibilities;
- the Council ensures that, as far as possible, the requirements it places upon employees are clear; and
- systems are in place to enable employees to raise concerns about any uncertainties or conflicts they have in their role and responsibilities.

Hazard	Control Measure
<ul style="list-style-type: none">• Employee unsure of their role• Confusion about job role/structures• Fear about job security• Uncertainty about what is happening• Expectation to work long hours• Expectation to take work home• Job requires conflicting behaviour• Unfair allocation of duties• Duties outwith remit• Expanded responsibility	Detailed job description outlining employees role and responsibilities.
	Plan recruitment processes to ensure that accurate information relating to the post is used and that the interview panel have adequate training to ensure that candidates are rigorously assessed against the job criteria.
	Implement employee appraisal system to assess employee suitability to undertake their role on a regular basis.
	Regular one-to-one meetings with employee to allow them to raise issues in relation to their role.

Demands

Includes issues such as workload, work patterns, and the work environment.

The Standard is that:

- employees indicate that they are able to cope with the demands of their jobs; and
- systems are in place locally to respond to any individual concerns.

States to be achieved:

- the organisation provides employees with adequate and achievable demands in relation to the agreed hours of work;
- employee's skills and abilities are matched to the job demands;
- jobs are designed to be within the capabilities of employees; and
- employees' concerns about their work environment are addressed.

Hazard	Control Measure
<ul style="list-style-type: none">• Too little time for tasks• Inadequate staffing• Too little training for job• Boring or repetitive work• Excessive workloads• Too much to do• Not enough to do• Too much time• Unacceptable target times• Physical environment not suitable	Managers discuss and assess workload on a regular basis
	Ensure employees have necessary skills to undertake roles
	Ensure that employees undertake suitable training that supports them to undertake their role.
	Manager plans for anticipated peaks in work, identifies resources required and where necessary, re-allocates work
	Eliminate parts of the workload and/or redesign work activity
	Share or delegate tasks
	Re-prioritise workload and set/agree realistic targets
	Utilise additional resources
	Ensure adequate work environment i.e. lighting, equipment, facilities.

Control

How much say the person has in the way they do their work.

The Standard is that:

- employees indicate that they are able to have a say about the way they do their work; and
- systems are in place locally to respond to any individual concerns.

States to be achieved:

- where possible, employees have control over their pace of work;
- employees are encouraged to use their skills and initiative to do their work;
- where possible, employees are encouraged to develop new skills to help them undertake new and challenging pieces of work;
- the organisation encourages employees to develop their skills;
- employees have a say over when breaks can be taken; and
- employees are consulted over their work

Hazard	Control Measure
<ul style="list-style-type: none">• Controlling management style• Inconsistent management style• Not being able to balance demands of work and life outside work• Rigid work patterns• Shift Work• Lone work• Lack of control over work• Lack of accountability for work activities• Lack of communication	Ensure employees are fully informed over matters that affect them.
	Ensure employees and their representatives continue to become an integral part of the decision making process.
	Maintain and develop policies to support employees in securing a realistic worklife balance including flexible working and support for employees with caring responsibilities.
	Ensure regular contact with employees who are lone working to minimise isolation.
	Regular team meetings, one-to-one's, delivering core brief, and scheduling additional meetings where change is anticipated.
	Discuss plan of work activities with employees on a regular basis
	Ensure employees have more input into the planning of work activities.

Relationships

Includes promoting positive working to avoid conflict and dealing with unacceptable behaviour.

The Standard is that:

- employees indicate that they are not subjected to unacceptable behaviours, e.g. bullying at work; and
- systems are in place locally to respond to any individual concerns.

States to be achieved:

- the organisation promotes positive behaviours at work to avoid conflict and ensure fairness;
- employees share information relevant to their work;
- the organisation has agreed policies and procedures to prevent or resolve unacceptable behaviour;
- systems are in place to enable and encourage managers to deal with unacceptable behaviour; and
- systems are in place to enable and encourage employees to report unacceptable behaviour

Hazard	Control Measure
<ul style="list-style-type: none">• Poor Relationships with:<ul style="list-style-type: none">○ Colleagues○ Manager○ Other Parties• Confrontational Management style• Bullying or harassment• Not feeling part of the team• Lack of team work & respect	Ensure that employees are supported and treated fairly and that decisions are rational and transparent.
	Policy in place which affirms the unacceptability of bullying and harassment and offers both a process and tangible support to assist employees in addressing such problems.
	Managers supporting employees to raise, informally and formally, areas of concern.
	Employees encouraged to discuss roles and activities within team on a regular basis.
	Complaints dealt with seriously and sympathetically in line with HR Policy
	Ensure employees are aware of the policies and procedures for highlighting concerns.

Support

Includes the encouragement, sponsorship and resources provided by the organisation, line management and colleagues.

The Standard is that:

- employees indicate that they receive adequate information and support from their colleagues and superiors; and
- systems are in place locally to respond to any individual concerns.

States to be achieved:

- the organisation has policies and procedures to adequately support employees;
- systems are in place to enable and encourage managers to support their staff;
- systems are in place to enable and encourage employees to support their colleagues;
- employees know what support is available and how and when to access it;
- employees know how to access the required resources to do their job; and
- employees receive regular and constructive feedback

Hazard	Control Measure
<ul style="list-style-type: none">• Lack of Support from:<ul style="list-style-type: none">○ Colleagues○ Manager○ Other Parties• Culture of blame	Open door policy
	Employees encouraged to air concerns at the earliest opportunity
	Concerns/complaints dealt with seriously and quickly
	Access to Occupational Health Services and Employee Counselling Service for employees.
	Counselling provided for employees affected by stressful situations where such support is not already being received.

Change

How organisational change (large or small) is managed and communicated in the organisation.

The Standard is that:

- employees indicate that the organisation engages with them frequently when undergoing an organisational change; and
- systems are in place locally to respond to any individual concerns.

States to be achieved:

- the organisation provides employees with timely information to enable them to understand the reasons for proposed changes;
- the organisation ensures adequate employee consultation on changes and provides opportunities for employees to influence proposals;
- employees are aware of the probable impact of any changes to their jobs. If necessary, employees are given training to support any changes in their jobs;
- employees are aware of timetables for changes; and
- employees have access to relevant support during changes.

Hazard	Control Measure
<ul style="list-style-type: none">• Uncertainty about what is happening• Fears about job security• Lack of communication/consultation	Issues and progress discussed regularly with employees at team meetings.
	Ensure effective two way communication systems in place to consult with employees and their representatives on any change management programmes.
	Feedback mechanisms put in place to allow individual employees to raise concerns.
	Ensuring communication is effective by asking staff for feedback on methods of communication.
	Open and honest communication to minimise uncertainty within teams.

2 Guidance on undertaking a Generic Stress Risk Assessment

Managers are responsible for actively managing the workplace to try to prevent accidents and ill-health before they happen. The same principles apply to controlling potential causes of work related stress. The process of risk assessment, as well as being required by law, provides a simple and effective method for preventing the day-to-day pressure of work becoming excessive.

Managers should regularly analyse the management information available to them to identify potential hazards. Once a potential hazard has been identified, managers should set up a focus group with the relevant group of employees and work through the 5 step risk assessment outlined below.

Basic example: High sickness absence within a team

Step 1: Identifying Hazards

The focus group and line manager will look at the potential hazards identified from the management information and record whether these factors are currently causing stress under the Health and Safety Executive Stress Management Standards detailed in Appendix 2.

If the focus group indicate that the potential hazards require no action, this should be recorded on the Generic Stress Notification form. This provides the manager with evidence that the issue was raised previously should further action be required at a later date.

Basic example: Hazard identified – Demands: Excessive workload.

Step 2: Decide who may be harmed and how

The focus group and line manager will identify the employees likely to be at risk of work related stress based on the findings.

Basic example: The employees present at work

Step 3: Evaluate the risk and take action

The focus group and line manager will identify the potential risks, if the hazards are not controlled, and mutually decide realistic solutions that can be put in place to reduce or eliminate the hazards. Managers may want to record the dates the focus group met. Suggested control measures are detailed in Appendix 2

Basic example: Risk Identified – The excessive workload may cause further absence within the team.

Step 4: Record the Findings

The focus group and manager will detail the specific measures that will be put in place to alleviate the risks identified, under each management standard, and agree on realistic timescales for implementation.

Basic example: Action: Re-prioritise workload and set/agree realistic targets

Step 5: Monitor and Review

The focus group and manager will mutually set review periods to monitor the effectiveness of the measures and schedule meetings to discuss the impact these actions are having on reducing the hazards identified. A copy of all updates to Generic Stress Risk Assessments should be submitted to the HR Service Centre for recording.

Basic example: Set regular meetings to evaluate the workload after each target is met.

GENERIC STRESS RISK ASSESSMENT

Group of Employees Identified:

Assessment Date:

Reason Group Identified	
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1. Identify Hazards	<i>Focus Group/Staff Team and Line Manager identify potential causes of stress.</i>	
Role	<input type="checkbox"/> Unsure about job/role <input type="checkbox"/> Confusion about job role/structures <input type="checkbox"/> Fear about job security <input type="checkbox"/> Uncertainty about what is happening <input type="checkbox"/> Expectation to work long hours <input type="checkbox"/> Expectation to take work home <input type="checkbox"/> Job requires conflicting behaviour <input type="checkbox"/> Unfair allocation of duties <input type="checkbox"/> Duties out with remit <input type="checkbox"/> Expanded responsibility	
Demands	<input type="checkbox"/> Too little time for tasks <input type="checkbox"/> Inadequate staffing <input type="checkbox"/> Too little training for job <input type="checkbox"/> Boring or repetitive work <input type="checkbox"/> Excessive workloads <input type="checkbox"/> Too much to do	

	<input type="checkbox"/> Not enough to do <input type="checkbox"/> Too much time <input type="checkbox"/> Unacceptable target times <input type="checkbox"/> Physical environment not suitable <input type="checkbox"/> Service Users	
Control	<input type="checkbox"/> Controlling management style <input type="checkbox"/> Inconsistent management style <input type="checkbox"/> Not being able to balance the demands of work and life outside work <input type="checkbox"/> Rigid work patterns <input type="checkbox"/> Shift work <input type="checkbox"/> Lone work <input type="checkbox"/> Lack of control over work <input type="checkbox"/> Lack of accountability for work activities	
Relationships	<p>Poor relationship with:</p> <input type="checkbox"/> Colleagues <input type="checkbox"/> Manager <input type="checkbox"/> Other party (please specify) <hr/> <input type="checkbox"/> Confrontational management style <input type="checkbox"/> Bullying and harassment <input type="checkbox"/> Not feeling part of the team <input type="checkbox"/> Lack of team work and respect	
Support	<p>Lack of support from</p> <input type="checkbox"/> Colleagues <input type="checkbox"/> Managers <input type="checkbox"/> Other party (please specify) <hr/> <input type="checkbox"/> Culture of blame	

Change	<input type="checkbox"/> Uncertainty about what is happening <input type="checkbox"/> Fears about job security <input type="checkbox"/> Lack of communication/consultation	
2. Who might be harmed and how		
3. Evaluate Risks		
4. Actions	Measures to be put in place	Date of implementation
Role		
Demands		
Control		
Relationships		
Support		
Change		

5. Monitor and Review	Monitoring that will be carried out	Date of Review
Role		
Demands		
Control		
Relationships		
Support		
Change		

Agreed:

Line Manager _____ Date _____

4 Guidance on undertaking an Individual Stress Risk Assessment

Step 1: Where an employee identifies that they are suffering from stress (either while they are at work or if they are absent from work) the line manager should send an Individual Stress Risk Assessment Form to the employee. Employees should complete the first part of the form immediately, identifying the issues that they have and the possible solutions that they feel would alleviate their stress. The completed form should be returned to their line manager, or other appropriate manager.

Step 2: The manager should arrange to meet with the employee on receipt of the Individual Stress Notification Form. The individual should be given the opportunity to be accompanied by a work colleague or Trades Union representative for support.

Step 3: The manager and employee should discuss the issues that have been raised by the employee and mutually decide on what measures can be put in place to alleviate the stressors identified. This should be recorded on the Individual Stress Notification Form, along with monitoring timescales, and signed by both parties. A copy of all Individual Stress Risk Assessments should be submitted to the HR Service Centre for recording.

Step 4: The manager should arrange to meet with the employee at the monitoring time arranged to discuss the Individual Stress Notification Form. The manager and employee will reflect on the measure that have been put in place and make any changes as appropriate. A copy of all updates to Individual Stress Risk Assessments should be submitted to the HR Service Centre for recording. If necessary the individual should be given the opportunity to be accompanied by a work colleague or Trades Union representative for support.

Managers should continue to monitor the employee's stressors in this way until the stress is under control.

INDIVIDUAL STRESS RISK ASSESSMENT

Name of Employee:

Job Title:

Department:

Manager:

It is important that records are kept on work issues affecting your health. Please complete this form and return to your line manager.

Stress Notification - To be completed by the employee

Do you feel that any of the following work-related issues have caused the stress that you are experiencing? Please tick any of the following boxes		Additional information
Role	<input type="checkbox"/> Unsure about job/role <input type="checkbox"/> Confusion about job role/structures <input type="checkbox"/> Fear about job security <input type="checkbox"/> Uncertainty about what is happening <input type="checkbox"/> Expectation to work long hours <input type="checkbox"/> Expectation to take work home <input type="checkbox"/> Job requires conflicting behaviour <input type="checkbox"/> Unfair allocation of duties <input type="checkbox"/> Duties outwith remit <input type="checkbox"/> Expanded responsibility	

Demands	<input type="checkbox"/> Too little time for tasks <input type="checkbox"/> Inadequate staffing <input type="checkbox"/> Too little training for job <input type="checkbox"/> Boring or repetitive work <input type="checkbox"/> Excessive workloads <input type="checkbox"/> Too much to do <input type="checkbox"/> Not enough to do <input type="checkbox"/> Too much time <input type="checkbox"/> Unacceptable target times <input type="checkbox"/> Physical environment not suitable	
Control	<input type="checkbox"/> Controlling management style <input type="checkbox"/> Inconsistent management style <input type="checkbox"/> Not being able to balance the demands of work and life outside work <input type="checkbox"/> Rigid work patterns <input type="checkbox"/> Shift work <input type="checkbox"/> Lone work <input type="checkbox"/> Lack of control over work <input type="checkbox"/> Lack of accountability for work activities	
Relationships	<p>Poor relationship with:</p> <input type="checkbox"/> Colleagues <input type="checkbox"/> Manager <input type="checkbox"/> Other party (please specify) <hr/> <input type="checkbox"/> Confrontational management style <input type="checkbox"/> Bullying and harassment <input type="checkbox"/> Not feeling part of the team <input type="checkbox"/> Lack of team work and respect	

Support	Lack of support from <input type="checkbox"/> Colleagues <input type="checkbox"/> Managers <input type="checkbox"/> Other party (please specify) <hr/> <input type="checkbox"/> Culture of blame	
Change	<input type="checkbox"/> Uncertainty about what is happening <input type="checkbox"/> Fears about job security <input type="checkbox"/> Lack of communication/consultation	
Please note here details of any other work related issue that is causing you stress		
Are there factors external to the workplace that may be causing you stress?		
Have you made any attempts to address these concerns yourself? If so please describe what action you have taken.		
Have you any suggestions of what your Manager can do to reduce your work-related stress?		
I can confirm that all work issues have been declared: <div> <div>Employee</div> <div>Date</div> </div>		

To be completed by the Line Manager		
Date Notification Form Received		
Name		
Job Title		
Date of meeting to discuss Stress notification		
To be completed by the Line Manager and Employee		
Actions	Measures to be put in place	Date of implementation
Role		
Demands		
Control		
Relationships		
Support		
Change		
Other Work Related/External Factors		

Monitor and Review	Monitoring that will be carried out	Date of Review
Role		
Demands		
Control		
Relationships		
Support		
Change		
Other Work Related/External Factors		

Agreed:

Employee _____ **Date**_____

Line Manager _____ **Date**_____