

TAY ROAD BRIDGE JOINT BOARD

MONDAY, 5TH MARCH, 2012

COMMITTEE ROOM 3, 14 CITY SQUARE, DUNDEE AT 10.00 AM

AGENDA OF BUSINESS

PART 1 OPEN MEETING

1 MINUTE OF MEETING OF 12TH DECEMBER, 2011 - Page 5

(Copy enclosed).

2 ENGINEERING WORKS - Page 7

(Report No TRB7-2012 enclosed).

3 OPERATIONAL RESTRICTIONS AND CLOSURES - Page 17

Report No TRB4-2012 enclosed).

4 REVENUE MONITORING - TEN MONTHS TO 31ST JANUARY, 2012 - Page 25

(Report No TRB1-2012 enclosed).

5 CAPITAL MONITORING - TEN MONTHS TO 31ST JANUARY, 2012 - Page 29

(Report No TRB2-2012 enclosed).

6 INTERNAL AUDIT - ANNUAL AUDIT PLAN 2011/12 - Page 35

(Report No TRB3-2012 enclosed, together with Internal Audit Report No 2012/01 by Henderson Loggie).

7 HEALTH AND SAFETY MONITORING 2011 - Page 45

(Report No TRB 5-2012 enclosed).

8 QUEEN'S DIAMOND JUBILEE - ADDITIONAL DAY ANNUAL LEAVE - Page 79

(Report No TRB6-2012 enclosed).

9 FUTURE MANAGEMENT AND MAINTENANCE OF TAY ROAD BRIDGE - Page 81

Following the recent announcement in late 2011 that FETA would be dissolved, with the transfer of the assets required for the safe operation of the Bridge to Scottish Ministers, together with the future management and maintenance of the Forth Replacement Crossing and the Forth Road Bridge being transferred to and contracted out (subject to TUPE) by Transport Scotland, the Chairman wrote to Transport Scotland expressing concerns raised by the Tay Road Bridge workforce in relation to the future management and control of the Tay Road Bridge.

Please find attached a response dated 16th January, 2012 from Transport Scotland, which the Board is asked to note.

10 DATE OF NEXT MEETING

Monday 18th June 2012 at 10.00 am in the Training Room, County Buildings, Cupar, Fife.

At a MEETING of the **TAY ROAD BRIDGE JOINT BOARD** held at Dundee on 12th December, 2011.

Present:-

Councillors Andrew ARBUCKLE, Jim YOUNG, David BOWES Ken LYNN, Tom FERGUSON, Mohammed ASIF and Jim BARRIE (substitute for Will Dawson).

Apologies were intimated from Bailie Wallace and Councillors McDiarmid, Taylor, Vettrains and Whyte.

I MINUTE OF MEETING OF TAY ROAD BRIDGE JOINT BOARD OF 12TH SEPTEMBER, 2011

The minute of the above mentioned meeting was submitted and approved.

II ENGINEERING WORKS

There was submitted Report No TRB36-2011 by the Engineer, advising the Joint Board of the current situation regarding Engineering Works on the Bridge. The Joint Board noted the position on current progress on various projects, and further noted that the Engineer would bring back regular reports regarding the recruitment of local staff and labour for the Pier Collision Protection Works project.

III OPERATIONAL RESTRICTION AND CLOSURES

There was submitted Report No TRB25-2011 by the Bridge Manager, advising the Joint Board of the number and nature of operational restrictions and closures applied between 1st May and 31st July, 2011. He also gave a brief verbal update of the restrictions and closures arising from the high winds of the previous week.

The Joint Board noted the report.

IV REPORT ON REVIEW OF ANNUAL REVIEW OF BUSINESS CONTINUITY PLAN

There was submitted Report No TRB28-2011 by the Bridge Manager advising the Joint Board of the annual review of the Business Continuity Plan and reporting any Business Continuity incidents over the previous year.

The Joint Board noted the contents of the report as at 30th November, 2011.

V REVENUE MONITORING - SEVEN MONTHS TO 31ST OCTOBER, 2011

There was submitted Report No TRB30-2011 by the Treasurer, advising the Joint Board of the current monitoring position of its 2011/2012 Revenue Budget.

The Joint Board noted the contents of the Report.

VI CAPITAL MONITORING - SEVEN MONTHS TO 31ST OCTOBER, 2011

There was submitted Report No TRB31-2011 by the Treasurer, advising the Joint Board of the current monitoring position of its 2011/2012 Revenue Budget.

The Joint Board noted the contents of the Capital Budget.

VII REVENUE BUDGET 2012/2013

There was submitted Report No TRB-232-2011 by the Treasurer, advising the Joint Board on the proposed revenue budget of the Tay Road Bridge for the financial year 2012/13.

The Joint Board approved the 2012/2013 budget

VIII CAPITAL PLAN 2012/2013 TO 2014/2015

There was submitted Report No TRB33-2011 by the Treasurer seeking approval for the Joint Board's Capital Plan for the period 2012/2013 to 2014/2015 inclusive.

The Joint Board approved the Capital Plan as detailed in Appendix A of the report, subject to confirmation of grant funding by the Scottish Government.

IX AUDITED ACCOUNTS 2010/2011

There was submitted and noted the Audited Statement of Accounts for the year ended 31st March, 2011 together with the External Auditor's Report on the 2010/2011 Audit.

There was also submitted Report No TRB34-2011 by the Treasurer responding to the External Auditor's report on the Tay Road Bridge Joint Board's 2010/2011 Statement of Accounts.

The Joint Board agreed to:-

- (a) endorse Report No TRB34-2011 as the formal response to the External Auditor's report;
- (b) note that the External Auditor's findings and conclusions were favourable; and
- (c) instruct the Treasurer to monitor the implementation of the agreed action plan appended to the report

X EMPLOYMENT EQUALITY MONITORING - ANNUAL REPORT

There was submitted Report No TRB35-2011 by the Bridge Manager, advising the Joint Board of the results of equality monitoring carried out in accordance with the Board's Single Equality Scheme and reporting on the progress towards meeting the commitments made in the Scheme.

The Board agreed to note the information contained in Appendix 1 to the report and approved the publication of that information on the Tay Road Bridge website.

XI REPORT ON REVIEW OF DEATH IN SERVICE SCHEME

There was submitted Report No TRB26-2011 by the Bridge Manager, advising the Joint Board of the outcome of the review of the Death In Service Scheme.

The Board agreed to close the Board's Death In Service Scheme to new entrants from 31st December, 2011.

XII PROPOSED DATES FOR 2012

Monday, 5th March at 10.00 a.m. - Dundee
Monday, 18th June at 10.00 a.m. - Fife
Monday, 10th September at 10.00 a.m. - Dundee
Monday, 10th December at 11.00 a.m. - Dundee

Andrew J ARBUCKLE, Chairman.

REPORT TO: TAY ROAD BRIDGE JOINT BOARD – 5 MARCH 2012
REPORT ON: ENGINEERING WORKS
REPORT BY: ENGINEER TO THE BOARD
REPORT NO: TRB 7-2012

1 PURPOSE OF REPORT

1.1 To advise the Joint Board on the current situation regarding Engineering works on the bridge.

2 RECOMMENDATIONS

2.1 It is recommended that the Joint Board note the position on current progress.

3 FINANCIAL IMPLICATIONS

3.1 There are no financial implications arising from this report.

4 SUSTAINABILITY POLICY IMPLICATIONS

4.1 There are no Sustainability Policy implications of relevance to this report.

5 EQUAL OPPORTUNITIES IMPLICATIONS

5.1 There are no equal opportunities implications of relevance to this report.

6 IMPLICATIONS TO BRIDGE USERS

6.1 There are no major implications for bridge users arising from this report.

7 BACKGROUND

7.1 Pier Collision Protection Works

Reference is made to Article I of the Tay Road Bridge Joint Board meeting of 1 August 2011 where the Joint Board agreed the terms of the Contractor's Statement including the developed tender of £15,114,359.28 from VolkerStevin Ltd and noted an estimated overall expenditure requirement of £19.1 million for the pier collision protection works project.

Reference is also made to Article II of the Tay Road Bridge Joint Board meeting of 12 September 2011 where the Joint Board was advised of progress with this project and VolkerStevin Ltd gave a presentation to the Board on the proposed methodology, plant and equipment to be used in the construction of these specialist marine works.

At the meeting of 12 September 2011, the Engineer also gave a verbal update and advised that an order had been placed for the 1.5m diameter piles and that they were being manufactured in China. There was to be a 6 week manufacturing period and a 6 week delivery period for shipping from China. There had been some delays in receiving appropriate certification of the steel and as such the earliest date of arrival of the piles in Dundee would be December 2011, assuming all went to programme. Given the cost of the specialist piling plant, this would mean the working over Christmas at additional overtime cost but also it would mean that works would be carried out in January which is historically the worst month for strong winds which if realised would cause delay and potentially substantial additional cost to the project. In order to ameliorate that risk, the Engineer recommended a start date on site of February 2012 for the piling works. This was accepted by the Board.

Fabrication of the 1.5m diameter piles being procured in China started on 29 November 2011 with an inspection visit and third party check carried out on 30 November 2011. By 4 January 2012 the piles had been manufactured ready for delivery. There was however a 6 week delay in the supplier securing a ship with the ship sailing from China on 23 February 2012. The ship secured is a direct charter ship and the estimated time of arrival in Dundee is 5 April 2012.

The 980mm diameter piles were procured and fabricated in Holland. Collection of these piles by barge was carried out in early December 2011 with them being temporarily stored in a VolkerStevin yard in Rotterdam. Delivery to Dundee is now programmed for early March 2012.

Piling operations were programmed to start in mid February 2012 but will now start four weeks later in mid March 2012. The contractor has re-sequenced the piling operation to save time and is currently looking at all opportunities to make improvements to programme.

As previously advised, the contract period is for 18 months from August 2011 to February 2013, however the contractor has programmed the works to complete by December 2012.

With the scale of the piling works, appropriate PR will be carried out in advance of the piling works starting.

VolkerStevin set up offices and a working compound in Dundee Port in early January 2012 and are currently carrying out substantial reinforced concrete works in the yard to form the large precast fendering units. This element of work is on programme.

VolkerStevin have signed up to a partnership with the Tay Road Bridge Joint Board, Dundee City Council, Fife Council, Angus Council and the Discover Opportunities Employability Partnership. This secures community benefit in the form of employment and training opportunities for local people.

Currently, VolkerStevin have recruited 3 office staff and have 8 vacancies registered with Discover Opportunities.

The precast concrete works have been sub-contracted to a local company employing 20 local operatives. Scaffolding is also being provided locally by 3 local operatives.

VolkerStevin have recruited 8 local people to fill management/staff roles for the project and are seeking to recruit a local civil engineering graduate and provide appropriate training.

Concrete is being supplied locally along with miscellaneous other materials and plant from local merchants and tool hire companies.

The site is registered with the Considerate Constructors Scheme, showing VolkerStevin's commitment to operating with consideration for the environment and the local community it is working within.

The costs on the contract are controlled and monitored on a regular basis. The following summarises the current financial position with the contract:

	Actual Spend to 31/01/12	Projected Spend to end of Contract	Approved Budget
Contractor Professional Services	£188,456	£188,456*	£100,000
Site Investigation	£753,037	£753,037	£900,000
Contract Works	£571,326	£15,114,359	£15,114,359
Share allowance	£0	£755,718	£755,718
Contingencies	£0	£1,020,923	£1,020,923
Engineer to the Board fees	£ 106,600	£164,000	£164,000
Professional Consultants Fees - Design	£ 439,151	£460,000*	£380,000
Category 3 Design Check	£66,500	£75,000	£75,000
Professional Consultants Fees - Contract	£252,149	£440,000	£490,000
Other Allowances	£95,000	£100,000	£100,000
Total	£2,472,219	£19,071,493	£19,100,000

* Note that the contractor professional services fees and the professional consultants design fees are over the original budget for that heading, however this was to cover a number of value engineering exercises which has resulted in shared savings of over £500,000.

7.2 Dundee Waterfront - Removal and Reconstruction of Bridge Ramps

West Bound Off Ramp and Associated Works

These works were completed on programme by the contractor Farrans with the new west bound off ramp and the long term temporary diversion route under the Tay Road Bridge ramps made operational on 28 October 2011. The new layout continues to work well with no major problems identified.

Completion of Tay Road Bridge Ramp Replacement

Dundee City Council awarded the contract for the next stage of these works to Sir Robert MacAlpine Ltd at a cost of £8.2 million. This stage involves the phased removal and replacement of the remainder of the approach ramps to the Tay Road Bridge including the construction of temporary diversion routes necessary for the removal of the ramps. The works also include the construction of elements of roads, drainage and services within the Waterfront Development. Works associated with the Dundee Waterfront started on site on 30 August 2011.

The works to the remainder of the bridge ramps are to be carried out in a number of phases over a two year period. Works started in January 2012 on the widening of the southbound on ramp at Customs House to accommodate two wide lanes of traffic. These works will take approximately 4 months to complete and will open in late April 2012. This widened ramp will then be the only route onto the southbound carriageway of the Tay Road Bridge for traffic. The current on ramp at Tayside House will be closed at this stage to allow its demolition to start.

The traffic management arrangements for access to and egress from the bridge at this stage are shown on Appendix 1 and these bridge arrangements will generally remain in place throughout the contract to December 2013.

The traffic management arrangements within the waterfront will change on occasions to allow elements of new waterfront infrastructure to be built. The first major change will be in late May 2012 where a new signalised junction arrangement is being formed at the Riverside Roundabout to create the space to enable the demolition and reconstruction of two existing bridges over the railway. The traffic management arrangements at this stage are shown on Appendix 2.

The arrangements shown in Appendix 2 will generally remain in place throughout the contract to December 2013 with the exception of eastbound traffic where at stages, the routing will be amended as waterfront infrastructure works are completed. The Board will be advised of any major changes to the eastbound traffic arrangements through the waterfront in advance.

The works to the bridge ramps and the Waterfront are being phased in such a way as to minimise the impact on bridge users and temporary signal controlled junctions of increased capacity are being provided to ensure this. The temporary traffic arrangements have been modelled by Dundee City Council and shown to be satisfactory.

Further regular reports will be brought to the Board detailing progress with this important project.

The Bridge Manager will continue to provide the Board with a monthly update on progress.

8 CONSULTATIONS

8.1 The Clerk, Treasurer and Bridge Manager have been consulted in the preparation of this report.

9 BACKGROUND PAPERS

9.1 None.

Fergus Wilson
Engineer to the Board

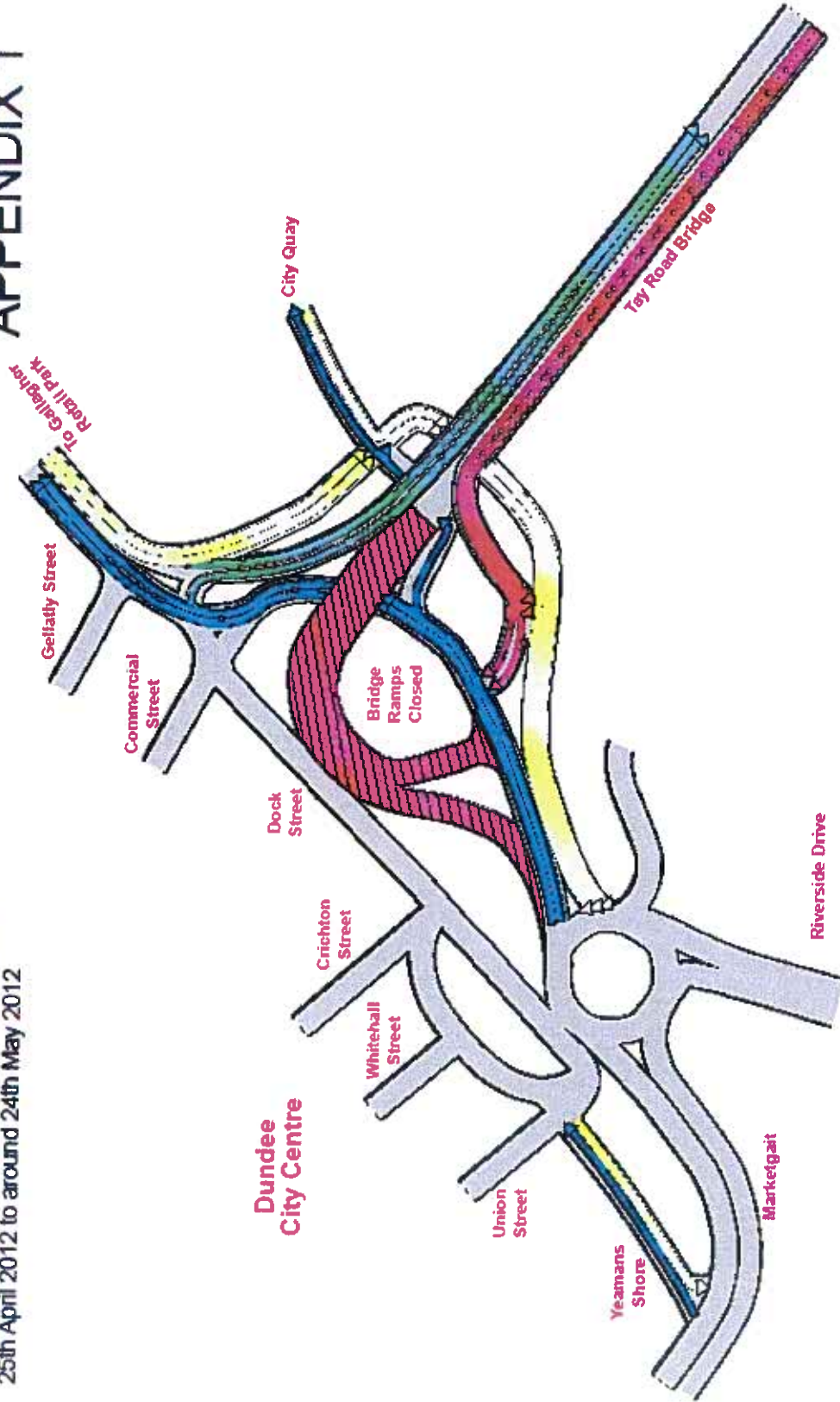
FW/EH

Dundee City Council
Dundee House
Dundee

23 February 2012

Traffic Management Arrangements from around 25th April 2012 to around 24th May 2012

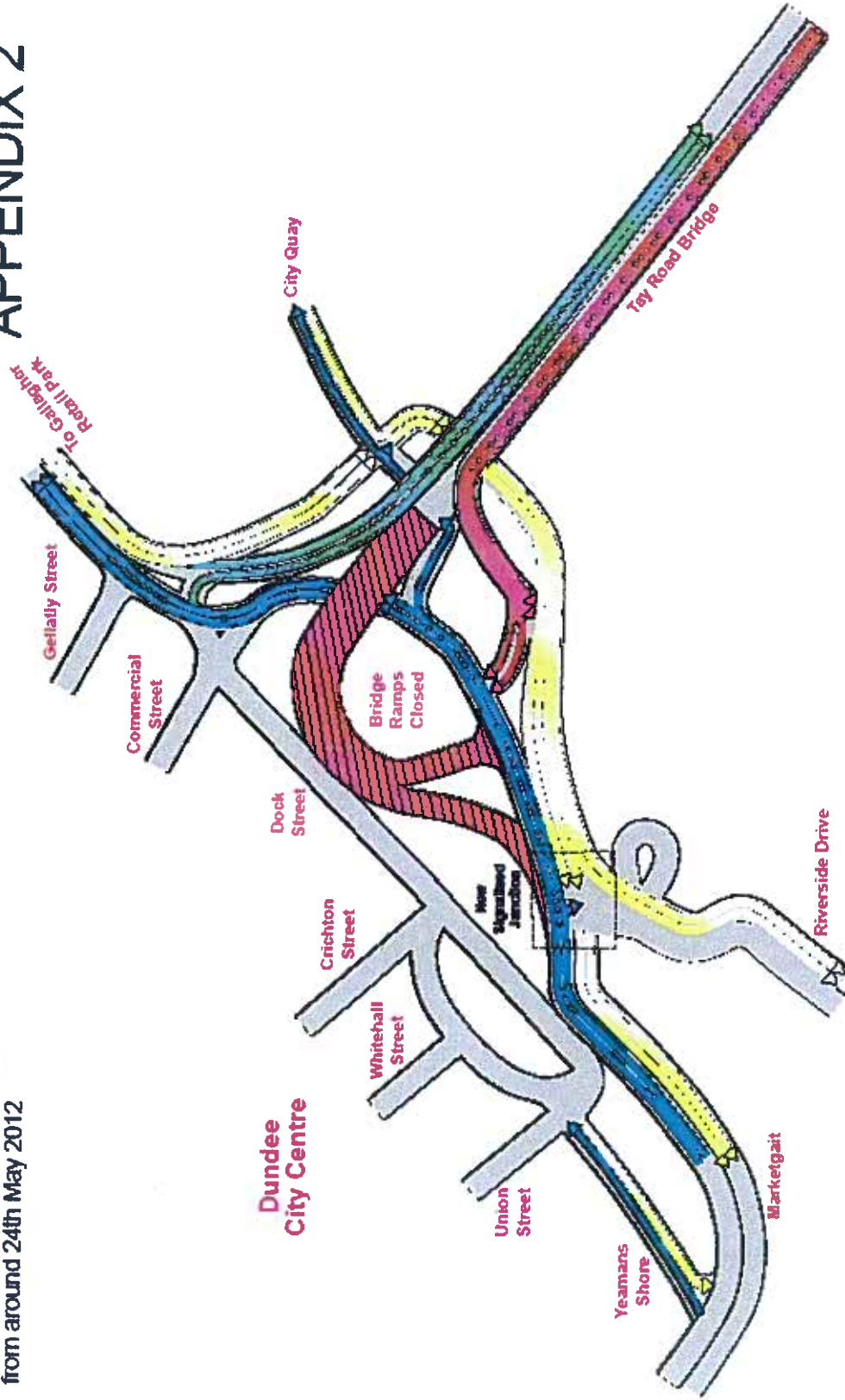
APPENDIX 1





Traffic Management Arrangements
from around 24th May 2012

APPENDIX 2



REPORT TO: TAY ROAD BRIDGE JOINT BOARD – 5 March 2012
 REPORT ON: REPORT ON OPERATIONAL RESTRICTIONS AND CLOSURES
 REPORT BY: THE BRIDGE MANAGER
 REPORT NO: TRB04- 2012

ITEM No: 3

1 **PURPOSE OF REPORT**

- 1.1 To appraise the Joint Board of the number and nature of operational restrictions and closures applied between 1 November and 31 January 2012.

2 **RECOMMENDATIONS**

The Board are asked to note the contents of this Report as at 31 January 2012.

3 **FINANCIAL IMPLICATIONS**

There are no financial implications as a result of this report.

4 **POLICY IMPLICATIONS**

- 4.1 None.

5. **COMMENTARY ON OPERATIONAL RESTRICTIONS AND CLOSURES**

- 5.1 Restrictions are applied to the traffic on the bridge for a number of reasons including recovering debris, breakdowns, high winds and other operational requirements.

A summary of the restrictions applied between November 2011 and January 2012 are given below:-

i) Single carriageway closures

Reason	Total Duration (Minutes)	No of Occasions	Average Duration (Minutes)
Operational	688	213	3
Breakdown	253	13	19
Misc. Incidents	95	7	13

ii) Traffic Restrictions

Reason	Single Carriageway /Both	Total Duration (Minutes)	No of Occasions	Average Duration (Minutes)
High Winds				
No Double Deck Buses Allowed	Both	13354	34	393
Cars Only	Both	3947	14	281
Full Closure	Both	1485	5	297
Roadworks				
TRBJB	Single	0	0	0
External Contractor	Single	540	3	180

iii) Closures on both carriageways

Reason	Full Closure	Total Duration (Minutes)	No of Occasions	Average Duration (Minutes)
Operational (Night Closures)	Yes	0	0	0
Police Incidents	Yes	33	2	17

iii) Availability of Bridge

Based on the above figures the various levels of availability of the bridge to users is as follows:-

Full availability (No restrictions)	84.7%
Partial Availability (Some restrictions)	14.2%
No Availability (Full Closure)	1.10%

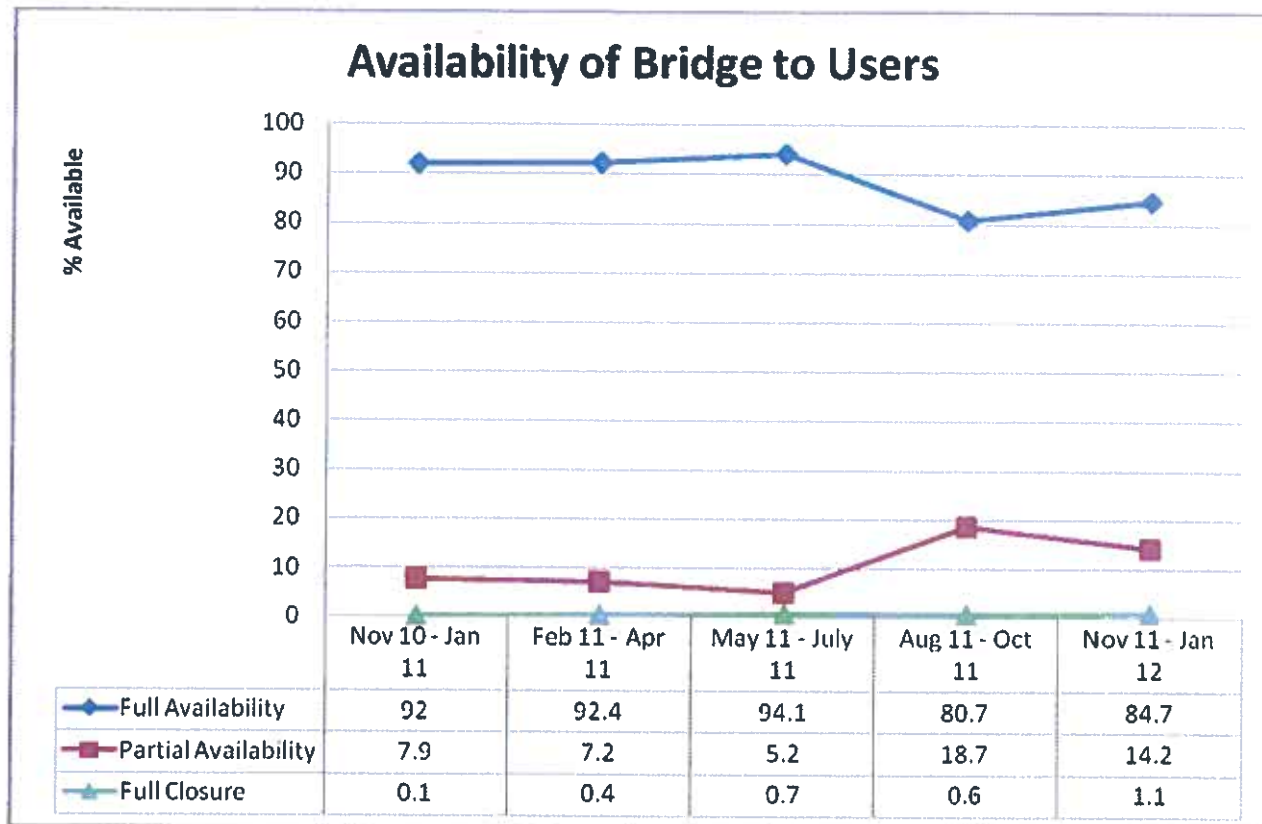


Figure 1 – Comparison of Availability of Bridge to Users

As can be seen from Figure 1 there was a reduction in the level of partial availability over the period. This was due to the lack of traffic management associated with the Dundee City Waterfront works. The majority of these restrictions were off peak which resulted in minimal disruption or delays to bridge users.

The level of total closures exceeded 1% for the first time in twelve months for the reasons outlined in Item 5.2 below.

5.2 High Wind Events

During the period between 1 November 2011 and 31 January 2012 the bridge was totally closed on five separate occasions due to winds exceeding 80mph.

The windspeed thresholds at which restrictions are implemented as follows:-

Windspeed Gusts Exceeding	Restriction Applied
45 mph	No access for double decker buses
60 mph	Closed to all vehicles except cars Closed to pedestrians and cyclists
80 mph	Closed to all vehicles

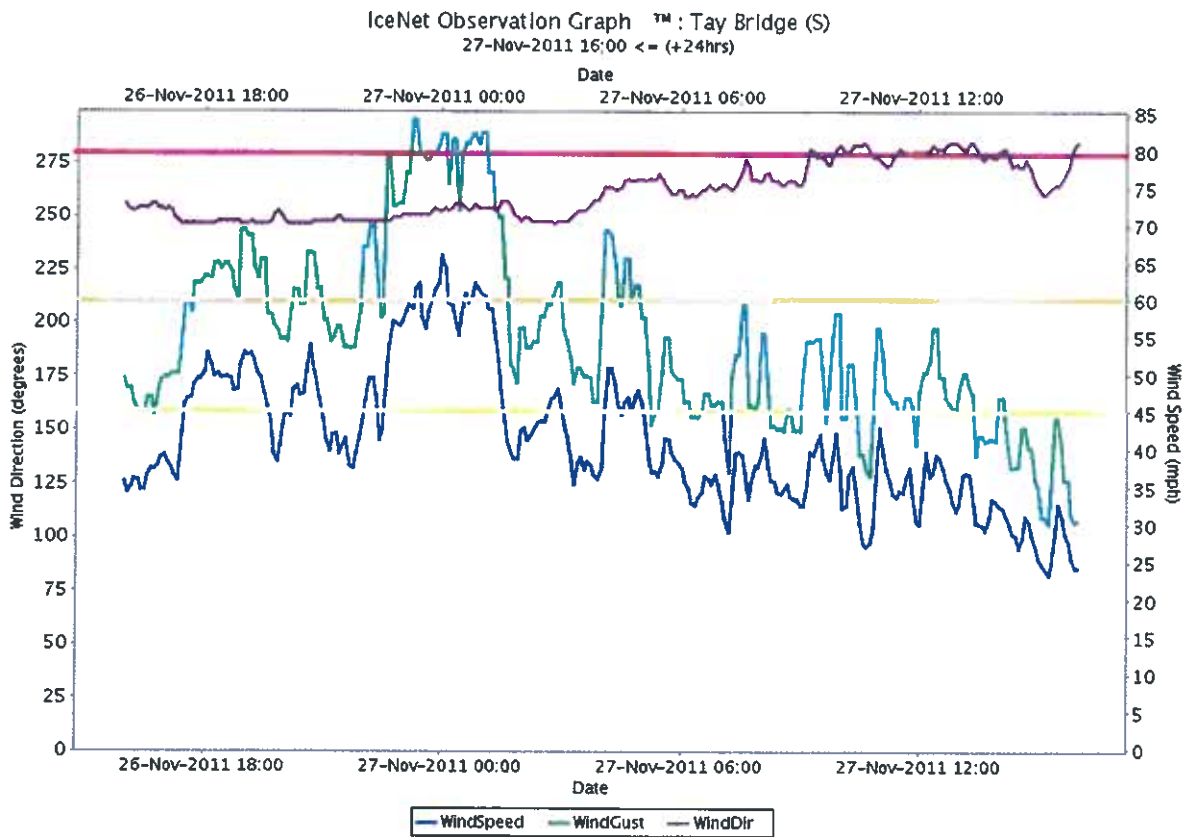
In the event the bridge is totally closed restrictions are in place for a minimum of 30 minutes once a downward trend in windspeed has been established and contact made with the Met Office for advice. A visual inspection of the bridge for debris and damage is made prior to reopening.

The dates and durations of the total closures were as shown below:-

Date	Closure Duration
27 November 2011	1 hour 35 minutes
8 December 2011	10 hours 20 minutes
13 December 2011	6 hours 40 minutes
28 December 2011	1 hour 15 minutes
3 January 2011	5 hours

The following graphs indicate the wind conditions and durations on each of the five occasions:-

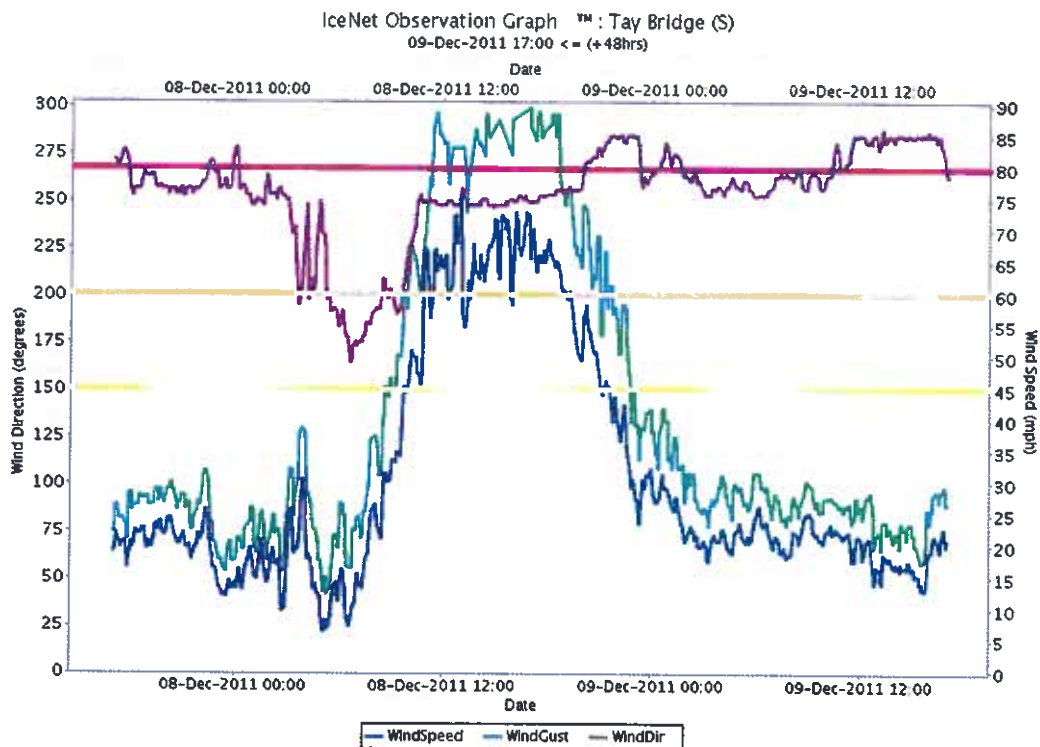
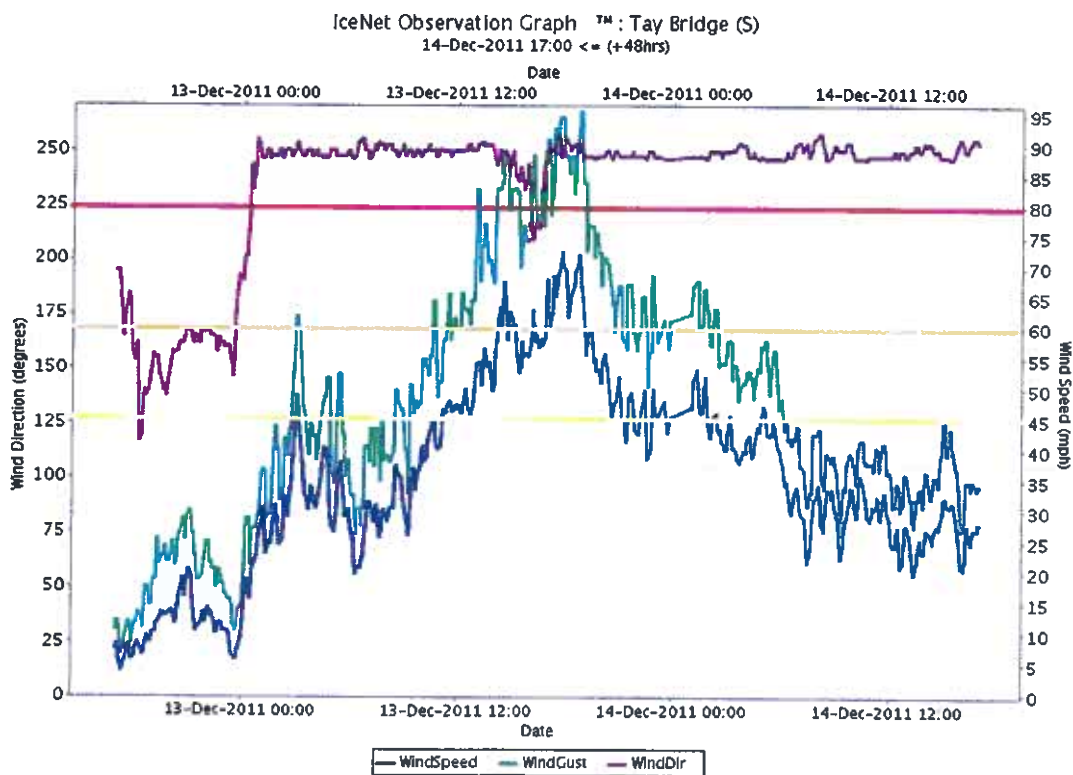
27 November 2011



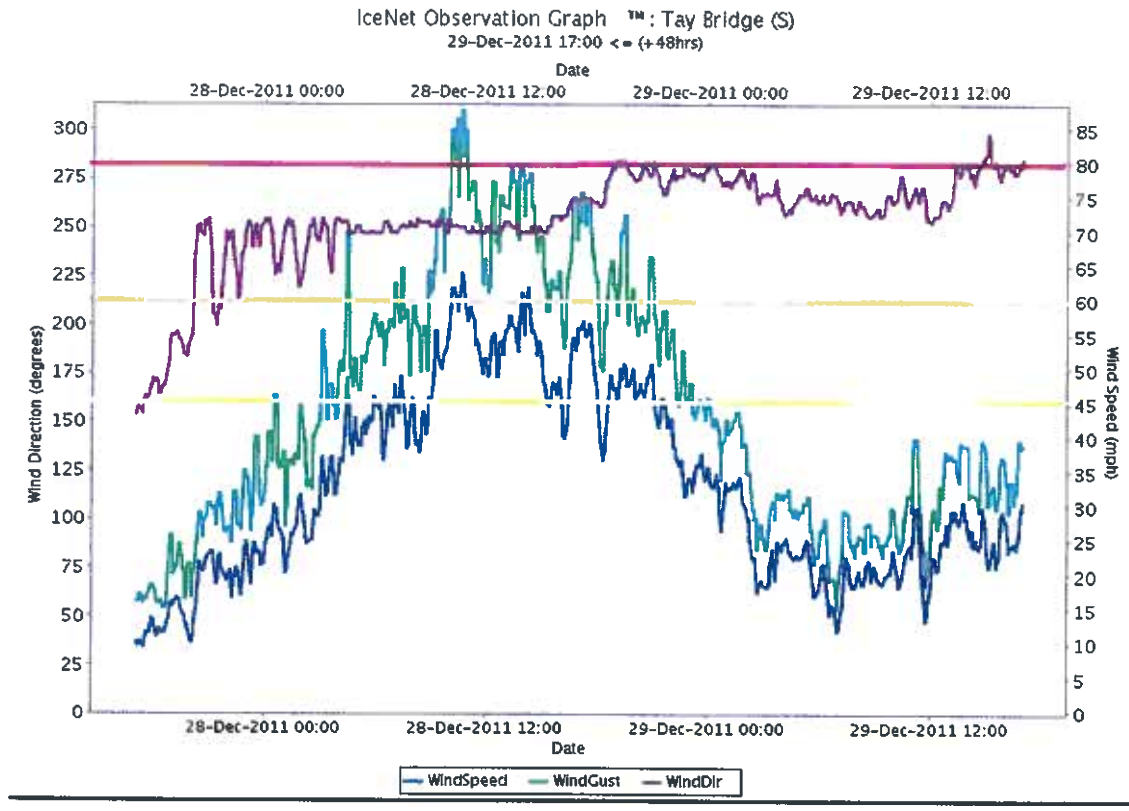
The red (top) horizontal line represents the 80mph threshold

The amber (middle) horizontal line represents the 60mph threshold

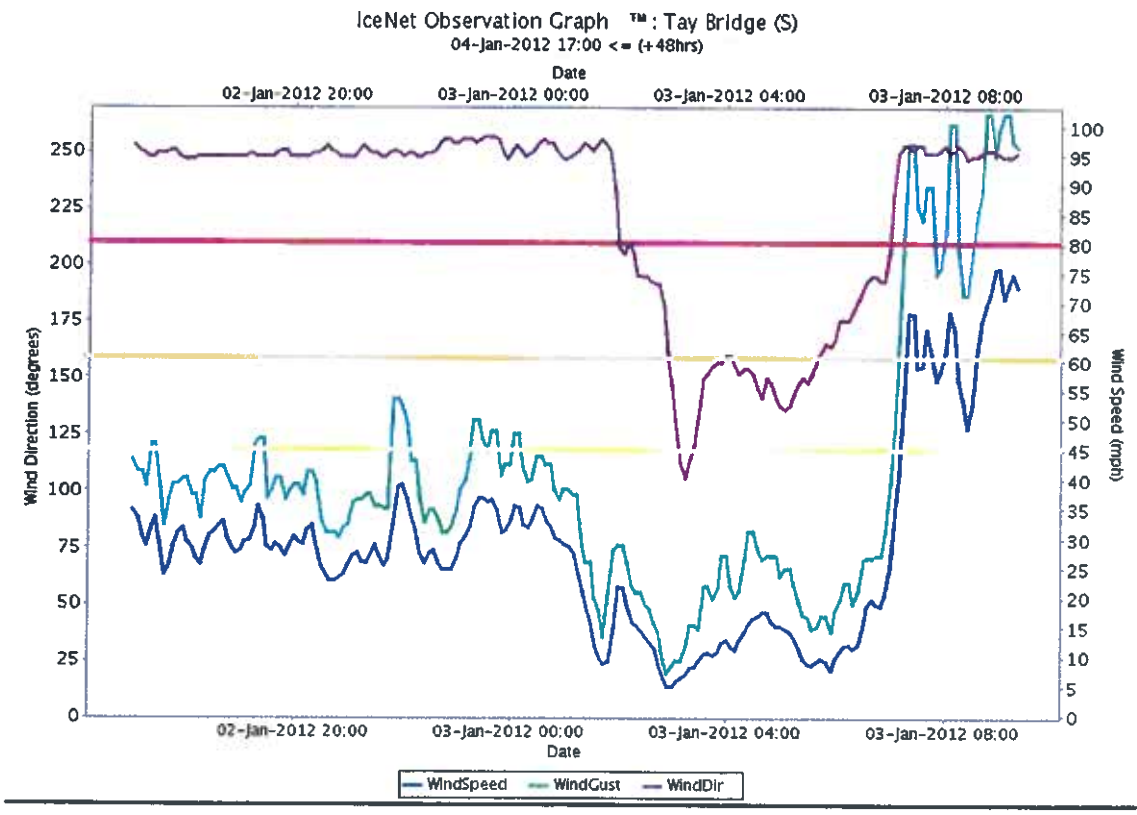
The yellow (bottom) horizontal line represents the 45 mph threshold

8 December 2011**13 December 2011**

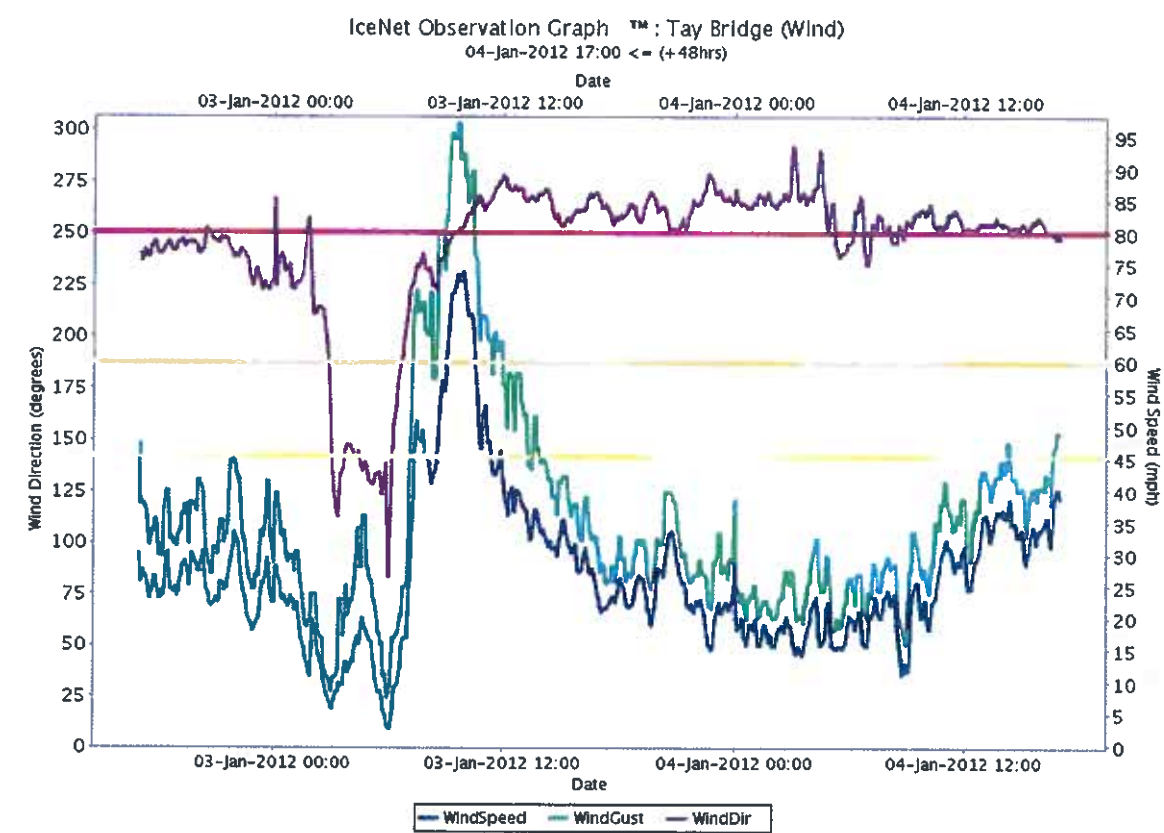
28 December 2011



3 January 2012



Readings from the south weather stations stopped at 9.20am due to a power outage. Below is the graph from the north weather station



The whole of the Scottish road network was subject to winds of a similar magnitude and all major crossings including the Forth, Erskine and Skye bridges experienced similar closures.

Whilst it is acknowledged that closing the Tay Road Bridge causes serious inconvenience and disruption to the travelling public the thresholds that are applied are those given in the Transport Scotland document "High Wind Strategy and National Wind Management Guidelines". The TRBJB were represented on the steering group that produced the guidance and the procedures used by the TRBJB were seen as an example of good practice in ensuring the safety of bridge users.

When the bridge is closed to all vehicles the following procedures regarding the provision of information are used;-

- All variable message signs set to "Tay Bridge Closed – High Winds – Divert via Perth"
- Traffic Scotland informed and Trunk Road variable message signs used if available
- All emergency services informed to allow them to put contingency plans into place
- All bus operators informed
- TRBJB Web Site updated
- Telephone system automated message updated

One of the largest numbers of queries received from members of the public during the closures was how long the bridge would remain closed. Unfortunately it is not possible to give accurate assessments of this as the forecast data available from the Met office can be unreliable in terms of timings.

On both the 8th December and the 3rd January the high winds arrived some four hours earlier than predicted which led to complaints that the bridge had been closed sooner than the public could have expected based on media weather forecasts.

In terms of trying to improve the amount of information available to the public the TRBJB web site is being updated with weather/restriction information being made available on the home page. In addition it is hoped to use RSS feeds to provide an e-mail alert service to those who register. This system is used successfully by Traffic Scotland to inform the public of closures and restrictions on the Trunk Road network.

The number and duration of the closures in such a short period have not been experienced recently but similar patterns have occurred in the past.

6 **CONSULTATIONS**

- 6.1 The Treasurer, Clerk and Engineer to the Board have been consulted in the preparation of this report.

7 **BACKGROUND PAPERS**

- 7.1 None

IAIN MACKINNON
BRIDGE MANAGER
2 February 2012

REPORT TO: TAY ROAD BRIDGE JOINT BOARD - 5 MARCH 2012

REPORT ON: REVENUE MONITORING - 10 MONTHS TO 31 JANUARY 2012

REPORT BY: THE TREASURER

REPORT NO: TRB 1-2012

ITEM No: 4

1 PURPOSE OF REPORT

The purpose of this report is to appraise the Joint Board of the current monitoring position of it's 2011/2012 Revenue Budget.

2 RECOMMENDATIONS

It is recommended that the Joint Board note the content of this Revenue Monitoring Report as at 31 January 2012.

3 FINANCIAL IMPLICATIONS

3.1 The current projected outturn for the financial year 2011/2012 shows a £119,000 underspend based on the financial ledger information up to 31 January 2012.

3.2 The Scottish Government has, as part of the Abolition of Tolls (Scotland) Act intimated that as a result of the removal of tolls the Board's Revenue Expenditure will be financed by an annual Revenue Grant.

As previously advised the Board agreed to a reduction in the Revenue Grant of £400,000 per annum in each of the three financial years 2008/09, 2009/10 and 2010/11, in light of the relatively high level of General Fund Reserves held by the Board. This annual contribution has now ended and Revenue Expenditure for 2011/2012 will be fully funded from Revenue Grant.

The Revenue Grant reductions would have resulted in the General Fund Reserve Balance being reduced to approximately £800,000 which was agreed to be a prudent level for this Reserve. However due to ongoing efforts to reduce costs, the resulting underspends in previous years have meant that the General Fund Reserve Balance was £1,160,591 as at 31 March 2011.

3.3 An underspend of £4,000 is projected in relation to Administration Staff Costs. This is due to lower than expected costs for conference expenses and employment advertising.

3.4 An underspend of £3,000 is projected in relation to Administration Property Costs. This is due to planned alterations not expected to be completed in this financial year.

3.5 An underspend of £6,000 is projected in relation to Plant and Equipment Supplies and Services. This consists of £3,000 saving on equipment purchase and £3,000 saving on plant hire.

3.6 An underspend of £36,000 is projected in relation to Bridge Maintenance Staff Costs. This consists of £29,000 for a vacant post remaining unfilled and £7,000 on overtime.

3.7 An underspend of £20,000 is projected in relation to Bridge Maintenance Third Party Payments. This is due to the Pier Scour Survey being delayed in order to coincide with the Pier Collision Protection Works project.

3.8 Additional income of £50,000 is projected in relation to Scottish Government Revenue Grant. This is due to the actual grant offer being more than originally budgeted.

3.9 Additional income of £5,000 is projected in relation to Interest on Revenue Balances. This is due to a slight increase in interest rates as well as increased average monthly balances.

- 3.10 An under recovery of £5,000 is projected in relation to Miscellaneous Income. This is due to the original budget being over-estimated.
- 3.11 The projected underspend of £119,000 if it materialised, would produce a surplus. This would result in a projected General Fund Reserve of £1,280,591 at 31 March 2012. This level of retained reserves is subject to negotiation with the Scottish Government.

4 REASONS FOR REVENUE EXPENDITURE VARIANCES

The main reasons for the projected Revenue variances can be summarised as follows:

	£000
A projected underspend relating to Administration Staff Costs	(4)
A projected underspend relating to Administration Property Costs	(3)
A projected underspend relating to Plant & Equipment Supplies & Services	(6)
A projected underspend relating to Bridge Maintenance Staff Costs	(36)
A projected underspend relating to Bridge Maintenance Third Party Payments.	(20)
Projected additional income relating to Scottish Government Revenue Grant	(50)
Projected additional income relating to Interest on Revenue Balances	(5)
A projected under-recovery relating to Miscellaneous Income	5
NET OVERSPEND/(UNDERSPEND)	(119)

5 RISK ASSESSMENT

In preparing the Board's Annual Revenue Budget, the Treasurer considered the key strategic, operational and financial risks faced by the Board over this period. In order to alleviate the impact these risks may have should they occur, a number of general risk mitigating factors are utilised by the Board. These include:

- a system of perpetual detailed monthly budget monitoring with latest positions reported to quarterly Board meetings.
- the level of General Fund Reserve balances available to meet any unforeseen expenditure.
- the level of other cash backed reserves available to meet any unforeseen expenditure.
- the possibility of identifying further budget savings and efficiencies during the year if required.
- the possibility of identifying new income streams during the year.

6 POLICY IMPLICATIONS

None

7 CONSULTATIONS

The Clerk, Bridge Manager and the Engineer to the Board have been consulted in the preparation of this report.

8 BACKGROUND PAPERS

None

MARJORY STEWART
TREASURER

21 FEBRUARY 2012

TAY ROAD BRIDGE JOINT BOARD**REVENUE MONITORING AS AT 31 JANUARY 2012**

	Revenue Budget 2011/12 £	Expenditure to 31 January 2012 £	Final Projection 2011/12 £	Variance from Budget £	Paragraph Reference
EXPENDITURE					
<u>Administration</u>					
Staff Costs	183,893	149,947	179,893	(4,000)	(3.3)
Property Costs	19,532	8,338	16,532	(3,000)	(3.4)
Supplies and Services	156,003	129,366	156,003	-	
Transport Costs	1,640	41	1,640	-	
Third Party Payments	85,851	37,761	85,851	-	
	446,919	325,453	439,919	(7,000)	
<u>Operations</u>					
Staff	474,163	399,720	474,163	-	
Supplies & Services	7,750	3,864	7,750	-	
	481,913	403,584	481,913	-	
<u>Plant and Equipment</u>					
Property	30,327	19,338	30,327	-	
Supplies & Services	105,945	52,258	99,945	(6,000)	(3.5)
Transport	34,060	26,018	34,060	-	
Third Party Payments	9,512	186	9,512	-	
	179,844	97,800	173,844	(6,000)	
<u>Bridge Maintenance</u>					
Staff	446,771	329,110	410,771	(36,000)	(3.6)
Property	13,264	4,306	13,264	-	
Supplies & Services	45,393	26,213	45,393	-	
Transport	686	34	686	-	
Third Party Payments	65,523	19,461	45,523	(20,000)	(3.7)
	571,637	379,124	515,637	(56,000)	
GROSS EXPENDITURE	1,680,313	1,205,961	1,611,313	(69,000)	
INCOME					
Scottish Government Revenue Grant	1,650,100	1,416,660	1,700,000	(49,900)	(3.8)
Interest on Revenue Balances	15,000	-	20,000	(5,000)	(3.9)
Kiosk Rent	10,213	7,660	10,213	-	
Miscellaneous	5,000	76	-	5,000	(3.10)
GROSS INCOME	1,680,313	1,424,396	1,730,213	(49,900)	
TOTAL NET DEFICIT/(SURPLUS)	-	(218,435)	(118,900)	(118,900)	

REPORT TO: TAY ROAD BRIDGE JOINT BOARD - 5 MARCH 2012
REPORT ON: CAPITAL MONITORING - 10 MONTHS TO 31 JANUARY 2012
REPORT BY: THE TREASURER
REPORT NO: TRB 2-2012

ITEM No: 5

1 PURPOSE OF REPORT

The purpose of this report is to appraise the Joint Board of the current monitoring position of it's 2011/2012 Capital Budget.

2 RECOMMENDATIONS

It is recommended that the Joint Board note the content of this Capital Monitoring Report as at 31 January 2012.

3 FINANCIAL IMPLICATIONS

The Joint Board's 2011/2012 Capital Expenditure Programme of £11,125,000 was approved by the Board on 13 December 2010 (Report TRB28-2010). From 1 April 2008 the Board's Capital Expenditure projects are being financed through Scottish Government Capital Grant.

The capital outturn for the financial year 2011/2012 (as detailed in Appendix A) is projected to be £7,229,000, a projected decrease compared to the original Capital Expenditure Programme of £3,896,000 based on the financial ledger information up to 31 January 2012.

This projected decrease consists of budget reductions of £491,000 and £4,220,000 slippage into the 2012/13 capital expenditure programme, partially offset by £815,000 slippage from the 2010/2011 capital expenditure programme. The revised Capital Expenditure Budget of £7,229,000 will be funded from 2011/2012 Capital Grant of £7,226,000 and £3,000 of Capital Receipts.

4 REASONS FOR CAPITAL EXPENDITURE DECREASE

The main reasons for the budget decrease of £3,896,000 can be summarised as follows:

	£000
<u>Slippage from 2010/2011:</u>	
Inspections to Columns & Piers	85
North Approach Viaduct Remedial Works	170
Carriageway Resurfacing	10
Fife Abutment Bearing Replacement	62
Pier Collision Protection to Navigation Spans	440
Advance Warning Signs	48
<u>Budget Adjustments:</u>	
Carriageway Resurfacing	(4)
Miscellaneous Projects	45
Fife Abutment Bearing Replacement	(32)
Pier Collision Protection to Navigation Spans	(500)
<u>Slippage into 2012/13:</u>	
Inspections to Columns & Piers	(170)
North Approach Viaduct Remedial Works	(260)
Paintwork to Box Girders	(50)
Pier Collision Protection to Navigation Spans	(3,740)
Total Budget Adjustments	
	(3,896)

5 RISK ASSESSMENT

- 5.1 There are a number of risks which may have an impact on the Capital expenditure programme for 2011/2012. The main areas of risk are set out below, together with the mechanisms in place to help mitigate these risks.
- 5.2 Construction cost inflation levels remain relatively low, however they can on occasion be relatively high in comparison to general inflation. Therefore delays in scheduling and letting contracts may lead to increases in projected costs. Every effort will be made to ensure delays are avoided wherever possible and any increase in costs minimised.
- 5.3 Slippage in the Capital programme leads to the need to reschedule projects in the current year and possibly future years, therefore creating problems in delivering the programme on time. For this reason the programme is carefully monitored and any potential slippage is identified as soon as possible and any corrective action taken.
- 5.4 Capital projects can be subject to unforeseen price increases. The nature of construction projects is such that additional unexpected costs can occur. Contingencies are built into the budget for each capital project and these are closely monitored throughout the project.
- 5.5 There is risk associated with projects that are not yet legally committed as the works are not yet tendered for, and there is potential for costs to be greater than the allowance contained within the Capital Plan. As the majority of spend on these projects is in future years, the risk in the current year is not significant. Future years' Capital programme will be adjusted to reflect updated cost estimates.

5.6 The Capital Monitoring report and the Engineer's report provide information on individual projects contained within the Capital Budget and the impact of expenditure movements on the future financial years.

6 **POLICY IMPLICATIONS**

None

7 **CONCLUSION**

The Board's 2011/2012 capital programme is showing a projected capital spend of £7,229,000 which will be funded from Scottish Government grant and capital receipts.

The 2011/2012 capital expenditure programme will continue to be monitored on a regular basis throughout the remainder of the current financial year.

8 **CONSULTATIONS**

The Clerk, Bridge Manager and the Engineer to the Board have been consulted in the preparation of this report.

9 **BACKGROUND PAPERS**

None

MARJORY STEWART
TREASURER

21 FEBRUARY 2012

TAY ROAD BRIDGE JOINT BOARDCAPITAL EXPENDITURE MONITORING10 MONTHS TO 31 JANUARY 2012.

<u>Expenditure</u>	<u>Capital Budget 2011/12</u> <u>£000</u>	<u>Slippage from 2010/11</u> <u>£000</u>	<u>Budget Adjust</u> <u>£000</u>	<u>Slippage into 2012/13</u> <u>£000</u>	<u>Revised Capital Budget 2011/12</u> <u>£000</u>	<u>Actual to 31 Jan 2012</u> <u>£000</u>	<u>Projected Outturn 2011/12</u> <u>£000</u>	<u>Variance from Budget</u> <u>£000</u>
Inspections to Columns & Piers	85	85	-	(170)	-	-	-	-
North Approach Viaduct Remedial Works	100	170	-	(260)	10	7	10	-
Carriageway Resurfacing	-	10	(4)	-	6	6	6	-
Gantry - Miscellaneous	25	-	-	-	25	11	25	-
Miscellaneous Projects	50	-	45	-	95	80	95	-
Fife Abutment Bearing Replacement	-	62	(32)	-	30	26	30	-
Paintwork to Box Girders	50	-	-	(50)	-	-	-	-
Pier Collision Protection to Nav Spans	10,800	440	(500)	(3,740)	7,000	988	7,000	-
Advance Warning Signs	15	48	=	=	63	=	63	=
	<u>11,125</u>	<u>815</u>	<u>(491)</u>	<u>(4,220)</u>	<u>7,229</u>	<u>1,118</u>	<u>7,229</u>	<u>=</u>
Funded by:								
Capital Grant 2011/2012	<u>£000</u>	<u>£000</u>	<u>£000</u>	<u>£000</u>	<u>£000</u>	<u>£000</u>	<u>£000</u>	<u>£000</u>
Capital Grant carried forward from Previous Years	8,800	815	(494)	(1,895)	7,226	5,534	7,226	-
Contribution from General Fund Reserve	2,325	-	-	(2,325)	-	-	-	-
Capital Receipt	-	-	3	-	3	3	3	-
	<u>11,125</u>	<u>815</u>	<u>(491)</u>	<u>(4,220)</u>	<u>7,229</u>	<u>5,537</u>	<u>7,229</u>	<u>=</u>

REPORT TO: TAY ROAD BRIDGE JOINT BOARD - 5 MARCH 2012

REPORT ON: INTERNAL AUDIT - ANNUAL AUDIT PLAN 2011/2012

REPORT BY: TREASURER

REPORT NO: TRB 3-2012

ITEM No: 6

1 PURPOSE OF REPORT

To present to the Board the Internal Audit Annual Audit Plan, which is attached as an appendix to this report.

2 RECOMMENDATIONS

It is recommended that the Board notes the contents of the Internal Audit Annual Plan for 2011/2012 which is based on the detailed Internal Audit Needs Assessment and Strategic Plan 2010 to 2013.

3 FINANCIAL IMPLICATIONS

The cost of Internal Audit Services is included in the approved Revenue Budget.

4 BACKGROUND

Reference is made to Article V of the Tay Road Bridge Joint Board meeting of 13 June 2011 whereby the Board approved the three year Strategic Audit Plan which was based on the detailed Internal Audit Needs Assessment (ANA).

The Board has a responsibility to develop and maintain internal control systems, risk management processes, governance arrangements and accounting records. In addition, the Board is responsible for ensuring that the Board's resources are used appropriately for the activities intended, fraud and other irregularities are prevented and detected, and the principles of Best Value are complied with. Internal audit reviews support management by giving an independent assessment of the adequacy and effectiveness of internal controls.

The Board's Internal Audit Service is provided by Henderson Loggie in respect of the financial years 2010/11 to 2012/13, and the Audit Needs Assessment (ANA) and Strategic Plan were prepared by them with reference to the CIPFA Code of Practice for Internal Audit in Local Government in the United Kingdom.

The ANA identified the main areas where the Board is exposed to risk that can be managed through internal control, and which therefore should be considered by internal audit. The results obtained from the assessment process identified and prioritised the areas requiring internal audit coverage over the next three years.

The Internal Audit Strategic Plan allocates audit days to the categories identified in the ANA to give a rolling programme of work which will be updated annually to ensure that any new and/or changed risks are reflected in the annual plan. The three year Strategic Audit Plan allows for 30 days in 2011/12.

5 MAIN TEXT

The Internal Audit Annual Audit Plan for 2011/2012, which is attached as an Appendix to this report, sets out the proposed audit work to be undertaken in 2011/2012. This will result in separate reports being issued for each review. The reviews will cover the following areas:

- Employment Legislation and Policies, Recruitment, and Staff Performance and Development;
- Corporate Governance and Planning;
- IT Network Arrangements; and
- Follow-Up Reviews.

6 POLICY IMPLICATIONS

This report has been screened for any policy implications in respect of Sustainability, Strategic Environmental Assessment, Anti-Poverty, Equality Impact Assessment and Risk Management. There are no major issues identified.

7 CONSULTATIONS

The Bridge Manager and the Clerk to the Board have been consulted on the content of this report.

8 BACKGROUND PAPERS

None

MARJORY M STEWART
TREASURER

21 FEBRUARY 2012



HENDERSON LOGGIE
Chartered Accountants

Tay Road Bridge Joint Board

**Annual Plan
2011/12**

Internal Audit Report No: 2012/01

Draft Issued: 12 December 2011

Final Issued: 20 January 2012



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1. Introduction

- 1.1 The purpose of this document is to present to the Tay Road Bridge Joint Board ('the Board') the annual internal audit operating plan for the financial year ended 31 March 2012. The plan is based on the proposed allocation of audit days for 2011/12 set out in the Audit Needs Assessment and Strategic Plan 2010 to 2013. The preparation of the Strategic Plan involved dialogue with the Bridge Manager and with the Treasurer.
- 1.2 At Section 3 of this report we have set out the outline scope and objectives for each audit assignment for 2011/12, together with the audit approach. These were arrived at following consultation with the Bridge Manager.
- 1.3 Separate reports will be issued for each assignment unless otherwise stipulated. This year the Corporate Governance and Corporate Planning reviews will be carried out together and our findings will be included in one report. Recommendations are graded in each report to reflect the significance of the issues raised.



2. Strategic Plan 2010 to 2013

Proposed Allocation of Audit Days

	Actual 10/11 Days	Planned 11/12 Days	Planned 12/13 Days
Reputation			
<i>Health and Safety</i>	3		
Staffing Issues			
<i>Recruitment and retention / HR policies</i>		6	
<i>Payroll</i>	3		
Estates and Facilities			
<i>Physical Security)</i>			
<i>Asset management)</i>			8
<i>Delivery of major projects</i>			7
Financial Issues			
<i>Budget setting / budgetary control</i>			5
<i>General ledger</i>	3		
<i>Procurement and creditors / purchasing</i>	3		
<i>Debtors / income</i>			
<i>Cash & bank / Treasury management</i>			
Organisational Issues			
<i>Risk management / Business continuity</i>	7		
<i>Corporate governance)*</i>		6	
<i>Corporate planning)*</i>		4	
<i>Insurance arrangements</i>			
Information and IT			
<i>IT network arrangements</i>		8	
<i>Data protection / FOI</i>			4
Other Audit Activities			
<i>Management and Planning)</i>	3	4	4
<i>External audit)</i>			
<i>Attendance at audit committees)</i>			
<i>Follow-up reviews</i>	1	2	2
<i>ANA</i>	5		
Total	<u>28</u>	<u>30</u>	<u>30</u>
	=====	=====	=====

*These projects will be linked and only one report produced



3. Outline Scope and Objectives

Audit Assignment:	Employment Legislation and Policies, Recruitment, and Staff Performance and Development
Priority:	Medium / Low
Joint Board Meeting:	June 2012
Days:	6

Scope

The review will include review of employment legislation and policies, recruitment processes, and actions to retain and improve Board staff.

Objectives

The objective of our audit will be to obtain reasonable assurance that:

- there is a process to identify changes in employment legislation and make changes on a timely basis;
- employment policies in place cover all appropriate areas and are considered adequate;
- staff have access to employment policies and are aware of their requirements;
- procedures are in place to ensure that policies are equalities impact assessed to ensure they meet the requirements of the Equalities Act 2010;
- the recruitment process is efficient and effective and adheres to the requirements regarding equality;
- the Board has a systematic approach to setting targets for staff, regularly assessing performance and development of staff and providing feedback; and
- training, including induction training, is clearly informed by an assessment of where staff have skills / knowledge / performance gaps.

Our audit approach will be:

From discussion with appropriate staff and review of procedural documentation, we will identify the internal controls in place and compare these with expected controls. A walkthrough of key recruitment, performance and training systems will then be undertaken to confirm our understanding and this will be followed up with compliance testing where considered necessary. We will report on any areas where expected controls are found to be absent or where controls could be further strengthened. We will also compare the employment policies that the Board has against what is considered good practice and identify if there are any further policies that should be developed.



3. Outline Scope and Objectives

Audit Assignment:	Corporate Governance and Planning
Priority:	Medium / Low
Joint Board Meeting:	June 2012
Days:	10

Scope

Corporate governance is 'the combination of processes and structures implemented by the governing body in order to inform, direct, manage and monitor the activities of the organisation toward the achievement of its objectives' (Cadbury Report, 1992). These processes include planning.

In 2004 the Independent Commission for Good Governance in Public Services was established by the Office for Public Management. The Commission's objective was to identify a common code for public service governance, thereby providing guidance for all public service organisations and partnerships. The resulting report, *The Good Governance Standard for Public Services*, was published in January 2005. Building on the Nolan principles for the conduct of individuals in public life it set out six core principles for good governance:

- Good governance means focusing on the organisation's purpose and on outcomes for citizens and service users;
- Good governance means performing effectively in clearly defined functions and roles;
- Good governance means promoting values for the whole organisation and demonstrating the values of good governance through behaviour;
- Good governance means taking informed, transparent decisions and managing risk;
- Good governance means developing the capacity and capability of the governing body to be effective; and
- Good governance means engaging stakeholders and making accountability real.

This audit will be a high-level review of the corporate governance and planning arrangements in place within the Board. The scope will also include planning processes in place at the Board.

Objectives

The objective will be to review compliance with good practice in corporate governance as defined in *The Good Governance Standard for Public Services*. The overall objective for planning will be to obtain reasonable assurance that the Board's planning processes are adequate and effective and accord with good practice.

Our audit approach will be:

For Corporate Governance the control environment in place at the Board will be reviewed and benchmarked against current best practice using *The Good Governance Standard for Public Services* as a guide. From discussion with management we will document the planning processes that the Board has in place. We will undertake this through review of specific plans, policies, minutes, other documents and discussion with key staff, to ensure that they cover all aspects currently recommended by best practice. We may use a good practice template as a method of assessing these planning processes.



3. Outline Scope and Objectives

Audit Assignment:	IT Network Arrangements
Priority:	Medium
Joint Board Meeting:	June 2012
Days:	8

Scope

The scope of the audit will be to carry out a high-level review of certain key aspects of the IT systems in place within the Board to identify any control weaknesses.

Objective

The objective will be to obtain reasonable assurance that internal controls in place ensure the security of the IT network operated by the Board.

Our audit approach will be:

Our approach will be based upon the Internal Control Questionnaires (ICQs) provided by the Chartered Institute of Public Finance and Accountancy (CIPFA); guidance provided by the Control Objectives for Information and related Technology (COBIT) standard issued by the IT Governance Institute (ITGI); discussion with staff; review of relevant documentation; and observation, covering the following areas:

- Physical and environmental controls;
- Network infrastructure;
- Acceptable Use Policy;
- Logical access; and
- Compliance with user licence requirements.



3. Outline Scope and Objectives

Audit Assignment:	Follow-Up Reviews
Priority:	Various
Joint Board Meeting:	June 2012
Days:	2

Scope

As part of the internal audit programme at the Board for 2011/12 we will review the recommendations raised within internal audit reports issued in 2010/11 and obtain an update on these. Areas covered during 2010/11 were:

- Report 2011/03 – Health and Safety
- Report 2011/04 – Payroll
- Report 2011/05 – General Ledger
- Report 2011/06 – Procurement and Creditors / Purchasing
- Report 2011/07 – Risk Management, Business Continuity and Insurance
- Report 2011/08 – Follow-Up Reviews

Objective

The objective of our follow-up review will be to assess whether recommendations made in internal audit reports from 2010/11 have been appropriately implemented and to ensure that, where little or no progress has been made towards implementation, that plans are in place to progress them.

Our audit approach will be:

- to request from responsible officers for each report listed above an update on the status of implementation of the recommendations made;
- to ascertain by review of supporting documentation, for any significant recommendations within the reports listed above, whether action undertaken has been adequate; and
- prepare a summary of the current status of the recommendations for the Board.

REPORT TO: TAY ROAD BRIDGE JOINT BOARD – 5 March 2012

REPORT ON: HEALTH & SAFETY MONITORING 2011

REPORT BY: THE BRIDGE MANAGER

ITEM No: 7

REPORT NO: TRB 05 - 2012

1 PURPOSE OF REPORT

1.1 To appraise the Board Members of performance relating to Health & Safety in 2011.

2 RECOMMENDATIONS

The Board are asked to note the outcomes of the report and to agree to findings of the review in Item 5.4

3 FINANCIAL IMPLICATIONS

None

4 POLICY IMPLICATIONS

4.1 None.

5. COMMENTARY

5.1 General

In December 2009, the Board approved the corporate Health & Safety Policy Statement prepared by the Bridge Manager. In this document the Bridge Manager was given the remit to:-

- a) Review the document on an annual basis, or as necessary due to organisational or legislative changes
- b) Report to the Board annually on matters relating to Health & Safety matters

A copy of the Health & Safety Policy Statement is included in Appendix A

5.2 Significant Risks

The significant risks faced by Employees of the Tay Road Bridge Joint Board include:-

- Working at height
- Working on and/or over water
- Working adjacent to live traffic
- Working in exposed conditions and during periods of adverse weather
- Working in areas of difficult access and confined spaces
- Operating various items of machinery and plant

5.3 Staff Consultation

In addition to formal Health & Safety Committee meetings, Safety Representatives and appropriate members of staff are consulted at the early stages of preparation of Risk Assessments, Method Statements and Operational Procedures.

5.4 Review

The Bridge Manager has reviewed the Health & Safety Policy Statement and is satisfied that there are no amendments required due to organisational or legislative changes and proposes that the document remains unaltered.

However Internal Audit Report 2011/03, reported under Agenda Item 4 of the Board Meeting of 12 September 2011, highlighted the existence of a document produced by the Health and Safety Executive entitled "Leading health & Safety at Work" which outlines the responsibilities of Board Members of Public and Private Bodies. The Internal Auditors recommended that Board Members were made aware of the document. A copy of this document is included in Appendix B for the information of Board Members.

5.5 Health & Safety Performance

Below is a table which contains information relating to accidents and near misses recorded during the year from January to December 2011 and is compared to the figures from 2010:-

Accident Category	2010	2011
RIDDOR fatal accident	0	0
RIDDOR Major Injury	0	0
RIDDOR over 3 day injury	1	2
Lost Time Injury	0	2
Minor Injury	0	1
Near Misses	0	0
Slip, trip, fall on the level	6	1
Manual Handling	2	0
Other	1	0
Total	10	6

All accidents and near misses are investigated and the causes/proposed mitigation measures are formally recorded. The RIDDOR over 3 day injuries resulted in the members of staff involved being absent from work for 30 days.

The two reportable accidents involved the following:-

- Member of the Maintenance Squad sustained bruising to his torso when a hydraulic hose attached to a jack detached from its coupling and struck him on the torso
- Member of the Maintenance Squad sustained an ankle injury by stepping in a concealed hole in the ground

In order to improve issues relating to manual handling the Maintenance Technician (Works) attended Manual Handling Training for Trainers and is now qualified to train staff in-house on manual handling issues and undertake manual handling risk assessments. Initial training to all staff has now been carried out and refresher training will be carried out at appropriate intervals.

5.6 Occupational Health Issues

Other than the absences due to the two "RIDDOR 3 day" accidents noted above there were no staff absences due to Occupational Health related issues.

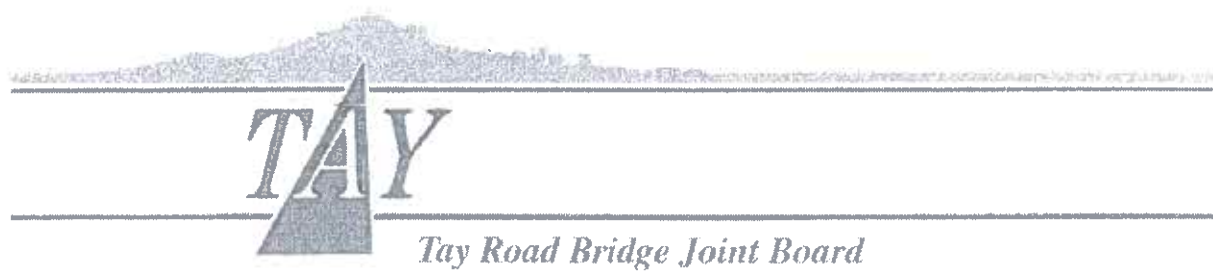
6 CONSULTATIONS

- 6.1 The Treasurer, Clerk and Engineer to the Board have been consulted in the preparation of this report.

7 BACKGROUND PAPERS

- 7.1 None

IAIN MACKINNON
BRIDGE MANAGER
10 February 2012



Health & Safety Policy Statement

Health & Safety at Work etc Act 1974

Foreword

The Tay Road Bridge Joint Board is committed to the effective management of Health and Safety both in terms of protecting the health and safety of Board employees and that of members of the public, who may be affected by the Board's activities.

To demonstrate the Board's commitment to Health and Safety, the Board will ensure the following principles are met:-

- An active commitment from the Board on health and safety issues;
- Integration of good health and safety management procedures;
- Engagement of the Board's employees in the promotion and achievement of safe and healthy conditions;
- Provide appropriate resources and training to Board employees;
- Identifying and managing health and safety risks;
- Accessing and acting on competent advice;
- Monitoring, reporting and reviewing performance.

By implementing the above principles through the following Health and Safety policy, the Board demonstrates its awareness of its responsibilities under the law to lead and promote Health and Safety matters.

For, and on behalf of the Tay Road Bridge Joint Board:-

Signed

.....

Andrew Arbuckle
Chairman
Tay Road Bridge Joint Board

.....

Iain Mackinnon
Bridge Manager
Tay Road Bridge Joint Board

Section A**Tay Road Bridge Joint Board - Health and Safety Policy Statement**

Health and Safety at Work etc Act 1974

The statement of general policy of the Tay Road Bridge Joint Board is:

- To provide adequate control of the health and safety risks arising from our work activities;
- To consult with our employees on matters affecting health and safety through individual discussion and the Health and Safety Committee;
- To provide and maintain safe plant, equipment and vehicles;
- To ensure as far as reasonably practicable safe handling and use of substances;
- To provide information, instruction and supervision for employees;
- To ensure all employees are competent to do their tasks and to provide them with adequate training;
- To prevent accidents and cases of work related ill health;
- To maintain safe and healthy work conditions;
- To assess and evaluate the health and safety competence of contractors prior to appointment and to monitor their health and safety performance thereafter
- To review health and safety performance and report formally to the Board on an annual basis; and
- To review and revise this policy on an annual basis, or as necessary due to organisational or legislative changes.

Signed

Date

.....

.....

Iain Mackinnon
 Bridge Manager
 Tay Road Bridge Joint Board

Responsibilities

1. Overall and final responsibility for health and safety is that of:

I Mackinnon, Bridge Manager

2. Day to day responsibility for ensuring this policy is put into practice is delegated to:

A Smith, Maintenance Supervisor

F Fraser, Administrative Officer

3. To ensure that health and safety standards are maintained/improved, the following people have responsibility in the following areas:

Name	Position	Responsibility	Responsible to
A Smith	Maintenance Supervisor	All Maintenance Activities	Bridge Manager
F Fraser	Administrative Officer	Office Areas/Control Room	Bridge Manager
N Fergusson	Maintenance Technician (Works)	Civil/ General Works	Maintenance Supervisor
G Glancy	Maintenance Technician (Electrical)	Electrical	Maintenance Supervisor
W McKelvey	Maintenance Technician (Mechanical)	Mechanical	Maintenance Supervisor
Duty Inspectors (5 No)	Bridge Inspector	Traffic and Vehicle Recovery	Administrative Officer

Appendix 1 shows the above lines of responsibility in the form of an organisation chart.

4. All Tay Road Bridge Joint Board employees shall:
 - Co-operate with supervisors and management on health and safety matters;
 - Not interfere with anything provided to safeguard their own, or others, health and safety;
 - Take reasonable care of their own health and safety; and
 - Report all health and safety concerns to an appropriate person (as detailed in this policy statement)

Health and Safety Risks

1. ~~Risk assessments will be undertaken by:-~~

A Smith – Maintenance Supervisor
N Fergusson – Maintenance Technician (Works)

2. The findings of the Risk Assessments will be reported to:-

I Mackinnon – Bridge Manager

3. Action required to remove/control risks will be approved by:-

I Mackinnon – Bridge Manager
A Smith – Maintenance Supervisor

4. Ensuring any actions arising from 3 above are implemented will be the responsibility of:-

A Smith – Maintenance Supervisor
N Fergusson – Maintenance Technician (Works)

5. Checks to ensure that implemented actions have removed/reduced risks will be the responsibility of:-

I Mackinnon – Bridge Manager
A Smith – Maintenance Supervisor

6. Risk assessments will be reviewed every **twelve months** or **when the work activity changes**, whichever is soonest. The results of the reviews will be formally recorded and controlled documents updated and staff made aware of any changes accordingly.

Employee Consultation

The Board recognises the importance of consulting with its employees and Trade Unions on Health and Safety related matters and is committed through holding regular staff meetings and the formation of a Health and Safety Committee to ensuring that a suitable forum is provided for discussion.

1. The Health and Safety Committee consists of the following representatives:-

A Smith – Maintenance Supervisor – Committee Chair
S Tarvit – Unite – representing Maintenance Staff
D Wells – GMB - representing Operational Staff

Meetings of the Committee are fully minuted and these are displayed on Staff notice boards.

2. Consultation with employees is provided by:-

Squad meetings – held monthly
Health & Safety Committee meetings – held quarterly
Staff Liaison Meetings – held quarterly
Ad-hoc consultation as required

Plant and Equipment

~~Details of all plant and equipment will be held electronically and where appropriate, details~~
of all maintenance activities will be recorded.

1. The identification of all equipment/plant requiring maintenance is the responsibility of:-

N Fergusson – Maintenance Technician (Works)
G Glancy – Maintenance Technician (Electrical)
W McElvey – Maintenance Technician (Mechanical)

2. The drawing up of effective maintenance procedures is the responsibility of:-

A Smith – Maintenance Supervisor

3. Ensuring that all identified maintenance is implemented is the responsibility of:-

I Mackinnon – Bridge Manager
A Smith – Maintenance Supervisor

4. Any problems found with plant and equipment should be reported to:-

A Smith – Maintenance Supervisor
N Fergusson – Maintenance Technician (Works)

5. Checking that all new plant and equipment meets the required health and safety standards is the responsibility of:-

A Smith – Maintenance Supervisor

Safe Handling and Use of Substances

1. The identification of all substances requiring a COSHH assessment is the responsibility of:-

N Fergusson – Maintenance Technician (Works)

2. The undertaking of COSHH assessments is the responsibility of:-

A Smith – Maintenance Supervisor

3. Ensuring that all actions identified in the assessments is the responsibility of:-

N Fergusson – Maintenance Technician (Works)

4. Ensuring that all relevant employees are informed about COSHH assessments is the responsibility of:-

A Smith – Maintenance Supervisor

F Fraser – Administrative Officer

N Fergusson – Maintenance Technician (Works)

5. Assessing the COSHH implications of materials prior to purchase is the responsibility of:-

A Smith – Maintenance Supervisor

6. COSHH Risk assessments will be reviewed every **twelve months** or **when the work activity changes**, whichever is soonest. The results of the reviews will be formally recorded and controlled documents updated and staff made aware of any changes accordingly.

Information, Instruction and Supervision

1. The Health and Safety Law poster is displayed at the following locations:

**Operations Control Room
Maintenance Department Notice Board
Administration Office**

2. Health and Safety Law *What You Need to Know* leaflets are distributed to all employees.

3. Supervision of young workers/trainees will be undertaken by:-

**N Fergusson – Maintenance Technician (Works)
F Fraser – Administrative Officer**

4. Ensuring that employees of other organisations working on Board premises are given relevant Health and Safety information is the responsibility of:-

A Smith – Maintenance Supervisor

Competency for Tasks and Training

1. ~~Induction training will be provided for all new employees by:-~~

A Smith – Maintenance Supervisor
F Fraser – Administrative Officer

2. Job specific training will be given by:-

I Mackinnon – Bridge Manager
A Smith – Maintenance Supervisor
N Fergusson – Maintenance Technician (Works)
External specialists as required

3. Specific Jobs requiring special training are:-

Job	Training Required
Maintenance Operative	Boat Handling Gantry Operation Confined Space Access Mobile Access
Bridge Officer	Code of Practice for Roadworks (Chapter 8) Code of Practice for Roadworks (Chapter 8) Vehicle Recovery

4. Training records for staff are held in:-

Personal Files
Training Database

5. Training will be identified by Staff Review & Development process and will be arranged and monitored by:-

I Mackinnon – Bridge Manager
A Smith – Maintenance Supervisor
F Fraser – Administrative Officer

Accidents, First Aid and Work Related Ill Health

1. Health surveillance is required for employees doing the following jobs:-

Bridge Inspector
Bridge Officer
Maintenance Operative

2. Health Surveillance will be arranged by:-

A Smith – Maintenance Supervisor
F Fraser – Administrative Officer

3. Health Surveillance records will be kept by:-

F Fraser – Administrative Officer

4. The first aid boxes are kept at the following locations:-

Admin Office
Control Room
Maintenance Mess Room
East and West Gantries
Safety Boat
All vehicles

5. The appointed person(s)/first aider(s) is (are):-

N Fergusson – Qualified First Aider

6. All accidents and cases of work related ill health are to be recorded in the accident book which is kept:-

In the Duty Control Room (manned 24 hours)

7. Reporting accidents, diseases and dangerous occurrences to the Health & Safety Executive is the responsibility of:-

I Mackinnon – Bridge Manager
A Smith – Maintenance Supervisor (in the absence of the Bridge Manager)

Monitoring and Reporting

1. To check working conditions and ensuring that safe working practices are being followed the following will be carried out:-

**Random checks on works (maximum interval quarterly) by Management
Report on findings of checks at regular Staff Liaison Meetings**

2. Responsibility for investigating accidents rests with:-

A Smith – Maintenance Supervisor

3. Responsibility for investigating work-related causes of sickness absences rests with:-

F Fraser – Administrative Officer

4. Responsibility for acting on investigation findings to prevent a recurrence rests with:-

I Mackinnon – Bridge Manager

5. Responsibility for preparing and submitting Annual Health & Safety Report to the March meeting of the Tay Road Bridge Joint Board rests with:-

I Mackinnon – Bridge Manager

Emergency Procedures – Fire and Evacuation

1. ~~Responsibility for ensuring that fire risk assessment is undertaken and implemented~~ rests with:-

A Smith – Maintenance Supervisor

2. Escape Routes are checked by/every:-

Offices - daily

3. Fire extinguishers are maintained and checked by/every:-

Fire Fighting Equipment (Dundee) Ltd/ every 6 months

4. Fire Alarms are maintained by and tested every :-

Nova Alarms Ltd

Maintenance visits March and September annually

5. The fire alarm will be sounded weekly from a different call point on a rotational basis, with records being kept.

6. Emergency evacuation drills will be held:-

Quarterly

With a debrief being held with fire stewards after every drill

leading health and safety at work

**LEADERSHIP
ACTIONS FOR
DIRECTORS AND
BOARD MEMBERS**

- 1
- 2
- 3
- 4

plan
deliver
monitor
review

“ Board level involvement is an essential part of the 21st century trading ethic. Attitudes to health and safety are determined by the bosses, not the organisation's size. ”

“ Health and safety is integral to success. Board members who do not show leadership in this area are failing in their duty as directors and their moral duty, and are damaging their organisation. ”

“ An organisation will never be able to achieve the highest standards of health and safety management without the active involvement of directors. External stakeholders viewing the organisation will observe the lack of direction. ”

“ Health and safety is a fundamental part of business. Boards need someone with passion and energy to ensure it stays at the core of the organisation. ”

Quotes from health and safety leaders in the public and private sectors.

ACKNOWLEDGEMENTS

The Institute of Directors and the Health and Safety Executive would like to thank the following organisations for their help on the steering group that developed this guidance: Confederation of British Industry, Federation of Small Businesses, Institution of Occupational Safety and Health, Local Authorities Coordinators of Regulatory Services, Local Government Association, National Council for Voluntary Organisations, NHS Confederation, The Princess Alice Hospice, Trades Union Congress, University of Warwick.

introduction

This guidance sets out an agenda for the effective leadership of health and safety. It is designed for use by all directors, governors, trustees, officers and their equivalents in the private, public and third sectors. It applies to organisations of all sizes.*

Protecting the health and safety of employees or members of the public who may be affected by your activities is an essential part of risk management and must be led by the board.

Failure to include health and safety as a key business risk in board decisions can have catastrophic results. Many high-profile safety cases over the years have been rooted in failures of leadership.

Health and safety law places duties on organisations and employers, and directors can be personally liable when these duties are breached: members of the board have both collective and individual responsibility for health and safety.

By following this guidance, you will help your organisation find the best ways to lead and promote health and safety, and therefore meet its legal obligations.

The starting points are the following essential principles. These principles are intended to underpin the actions in this guidance and so lead to good health and safety performance.

ESSENTIAL PRINCIPLES

- **Strong and active leadership from the top:**
 - visible, active commitment from the board;
 - establishing effective 'downward' communication systems and management structures;
 - integration of good health and safety management with business decisions.
- **Worker involvement:**
 - engaging the workforce in the promotion and achievement of safe and healthy conditions;
 - effective 'upward' communication;
 - providing high quality training.
- **Assessment and review:**
 - identifying and managing health and safety risks;
 - accessing (and following) competent advice;
 - monitoring, reporting and reviewing performance.

*The Health and Safety Executive (HSE) has further advice on leadership for small businesses and major hazard industries – see resources section.

Costs of poor health and safety at work

HSE statistics reveal the human and financial cost of failing to address health and safety.

- More than 200 people are killed at work in the United Kingdom each year. This does not include work-related road deaths.
- In 2006, 30 million working days were lost in the UK to occupational ill health and injury, imposing an annual cost to society of £30 bn (more than 3% of GDP).
- Surveys show that about two million people suffer from an illness that they believe to be caused or made worse by work.
- Many thousands of deaths each year can be attributed to occupational illnesses, including some cancers and respiratory diseases.

Organisations can incur further costs – such as uninsured losses and loss of reputation.

IN THIS GUIDANCE

The following pages set out:

- a four-point agenda for embedding the essential health and safety principles;
- a summary of legal liabilities;
- a checklist of key questions for leaders;
- a list of resources and references for implementing this guidance in detail.

The agenda consists of:

Core actions for boards and individual board members that relate directly to the legal duties of an organisation. *These actions are intended to set a standard.*

Good practice guidelines that set out ways to give the core actions practical effect. *These guidelines provide ideas on how you might achieve the core actions.*

Case studies selected to be relevant to most sectors.

A website, www.hse.gov.uk/leadership, provides links to all the resources mentioned.

Benefits of good health and safety

Addressing health and safety should not be seen as a regulatory burden: it offers significant opportunities.

Benefits can include:

- reduced costs and reduced risks – employee absence and turnover rates are lower, accidents are fewer, the threat of legal action is lessened;
- improved standing among suppliers and partners;
- a better reputation for corporate responsibility among investors, customers and communities;
- increased productivity – employees are healthier, happier and better motivated.

It includes online and downloadable versions of this guidance and further advice for small enterprises.

Legal responsibilities of employers

Health and safety law states that organisations must:

- provide a written health and safety policy (if they employ five or more people);
- assess risks to employees, customers, partners and any other people who could be affected by their activities;
- arrange for the effective planning, organisation, control, monitoring and review of preventive and protective measures;
- ensure they have access to competent health and safety advice;
- consult employees about their risks at work and current preventive and protective measures.

Failure to comply with these requirements can have serious consequences – for both organisations and individuals. Sanctions include fines, imprisonment and disqualification.

Under the Corporate Manslaughter and Corporate Homicide Act 2007 an offence will be committed where failings by an organisation's senior management are a substantial element in any gross breach of the duty of care owed to the organisation's employees or members of the public, which results in death. The maximum penalty is an unlimited fine and the court can additionally make a publicity order requiring the organisation to publish details of its conviction and fine. (See also the back page of this guidance.)

plan the direction for health and safety



The board should set the direction for effective health and safety management.

Board members need to establish a health and safety policy that is much more than a document – it should be an integral part of your organisation's culture, of its values and performance standards.

All board members should take the lead in ensuring the communication of health and safety duties and benefits throughout the organisation.

Executive directors must develop policies to avoid health and safety problems and must respond quickly where difficulties arise or new risks are introduced; non-executives must make sure that health and safety is properly addressed.

CORE ACTIONS

To agree a policy, boards will need to ensure they are aware of the significant risks faced by their organisation.

The policy should set out the board's own role and that of individual board members in leading the health and safety of its organisation.

It should require the board to:

- ☑ 'own' and understand the key issues involved;
- ☑ decide how best to communicate, promote and champion health and safety.

The health and safety policy is a 'living' document and it should evolve over time, eg in the light of major organisational changes such as restructuring or a significant acquisition.

GOOD PRACTICE

- ☑ Health and safety should appear regularly on the agenda for board meetings.
- ☑ The chief executive can give the clearest visibility of leadership, but some boards find it useful to name one of their number as the health and safety 'champion'.
- ☑ The presence on the board of a health and safety director can be a strong signal that the issue is being taken seriously and that its strategic importance is understood.
- ☑ Setting targets helps define what the board is seeking to achieve.
- ☑ A non-executive director can act as a scrutineer – ensuring the processes to support boards facing significant health and safety risks are robust.

Corporate governance

For many organisations, health and safety is a corporate governance issue. The board should integrate health and safety into the main governance structures, including board sub-committees, such as risk, remuneration and audit.

The Turnbull guidance on the Combined Code on Corporate Governance requires listed companies to have robust systems of internal control, covering not just 'narrow' financial risks but also risks relating to the environment, business reputation and health and safety.

Case study – North Staffordshire Combined Healthcare NHS Trust

The board found itself facing service improvement targets. Using new corporate and clinical guidance, it set about taking a 'whole systems' approach to managing corporate risk, giving one of its directors responsibility for the leadership of health and safety for the first time. Health and safety was also made a key item on the board agenda.

This has resulted in a much better integrated health and safety management system that increases the opportunity to identify and manage all corporate risks, and a much more open culture, improving reporting and monitoring. The board actively promotes a culture that gives staff the confidence to report incidents. This has resulted in:

- 16% reduction in incidence rates over two years;
- 10% reduction in insurance premiums.



deliver

health and safety

Delivery depends on an effective management system to ensure, so far as is reasonably practicable, the health and safety of employees, customers and members of the public.

Organisations should aim to protect people by introducing management systems and practices that ensure risks are dealt with sensibly, responsibly and proportionately.

CORE ACTIONS

To take responsibility and 'ownership' of health and safety, members of the board must ensure that:

- ✓ health and safety arrangements are adequately resourced;
- ✓ they obtain competent health and safety advice;
- ✓ risk assessments are carried out;
- ✓ employees or their representatives are involved in decisions that affect their health and safety.

The board should consider the health and safety implications of introducing new processes, new working practices or new personnel, dedicating adequate resources to the task and seeking advice where necessary.

Boardroom decisions must be made in the context of the organisation's health and safety policy; it is important to 'design-in' health and safety when implementing change.

GOOD PRACTICE

- ✓ Leadership is more effective if visible – board members can reinforce health and safety policy by being seen on the 'shop floor', following all safety measures themselves and addressing any breaches immediately.
- ✓ Consider health and safety when deciding senior management appointments.
- ✓ Having procurement standards for goods, equipment and services can help prevent the introduction of expensive health and safety hazards.
- ✓ The health and safety arrangements of partners, key suppliers and contractors should be assessed: their performance could adversely affect yours.
- ✓ Setting up a separate risk management or health and safety committee as a subset of the board, chaired by a senior executive, can make sure the key issues are addressed and guard against time and effort being wasted on trivial risks and unnecessary bureaucracy.
- ✓ Providing health and safety training to some or all of the board can promote understanding and knowledge of the key issues in your organisation.
- ✓ Supporting worker involvement in health and safety, above your legal duty to consult worker representatives, can improve participation and help prove your commitment.

Case study – British Sugar

British Sugar was devastated in 2003, when three workers died. The business had always considered health and safety a key priority but realised a change in focus was needed. It carried out a comprehensive, boardroom-led review of its arrangements. This included:

- the chief executive assigning health and safety responsibilities to all directors;
- monthly reports on health and safety going to the board;
- more effective working partnerships with employees, trade unions and others;
- overseeing an audited behavioural change programme;
- publishing annual health and safety targets and initiatives to meet them.

Results included:

- 43% drop in time lost to injuries over two years;
- 63% reduction in major health and safety issues in one year;
- much greater understanding among directors of health and safety risks.

monitor

health and safety



Monitoring and reporting are vital parts of a health and safety culture. Management systems must allow the board to receive both specific (eg incident-led) and routine reports on the performance of health and safety policy.

Much day-to-day health and safety information need be reported only at the time of a formal review (see action 4). But only a strong system of monitoring can ensure that the formal review can proceed as planned – and that relevant events in the interim are brought to the board's attention.

CORE ACTIONS

The board should ensure that:

- ☑ appropriate weight is given to reporting both preventive information (such as progress of training and maintenance programmes) and incident data (such as accident and sickness absence rates);
- ☑ periodic audits of the effectiveness of management structures and risk controls for health and safety are carried out;
- ☑ the impact of changes such as the introduction of new procedures, work processes or products, or any major health and safety failure, is reported as soon as possible to the board;
- ☑ there are procedures to implement new and changed legal requirements and to consider other external developments and events.

GOOD PRACTICE

- ☑ Effective monitoring of sickness absence and workplace health can alert the board to underlying problems that could seriously damage performance or result in accidents and long-term illness.
- ☑ The collection of workplace health and safety data can allow the board to benchmark the organisation's performance against others in its sector.
- ☑ Appraisals of senior managers can include an assessment of their contribution to health and safety performance.
- ☑ Boards can receive regular reports on the health and safety performance and actions of contractors.
- ☑ Some organisations have found they win greater support for health and safety by involving workers in monitoring.

Case study – Mid and West Wales Fire and Rescue Service

Mid and West Wales Fire and Rescue Service recognised that it was critical to demonstrate to staff that health and safety was fundamental to the success of its overall service delivery – and that commitment to health and safety came from the top of the organisation. The director of service policy and planning was made health and safety director, and implemented a revised framework for health and safety. The director made site visits to engage the workforce and placed renewed emphasis on the need to improve incident reporting, investigation and monitoring procedures. The service has reported:

- £100 000 reduction in insurance liability premiums in one year through improved corporate strategic risk management;
- 50% reduction in sickness absence resulting from work-related injury over two years;
- 50% reduction in injury rates over three years.



review

health and safety

A formal boardroom review of health and safety performance is essential. It allows the board to establish whether the essential health and safety principles – strong and active leadership, worker involvement, and assessment and review – have been embedded in the organisation. It tells you whether your system is effective in managing risk and protecting people.

CORE ACTIONS

The board should review health and safety performance at least once a year. The review process should:

- ✓ examine whether the health and safety policy reflects the organisation's current priorities, plans and targets;
- ✓ examine whether risk management and other health and safety systems have been effectively reporting to the board;
- ✓ report health and safety shortcomings, and the effect of all relevant board and management decisions;
- ✓ decide actions to address any weaknesses and a system to monitor their implementation;
- ✓ consider immediate reviews in the light of major shortcomings or events.

Auditing and reporting

Larger public and private sector organisations need to have formal procedures for auditing and reporting health and safety performance. The board should ensure that any audit is perceived as a positive management and boardroom tool. It should have unrestricted access to both external and internal auditors, keeping their cost-effectiveness, independence and objectivity under review.

Various codes and guides (many of them sector-specific) are available to help organisations report health and safety performance and risk management as part of good governance. See resources section.

GOOD PRACTICE

- ✓ Performance on health and safety and wellbeing is increasingly being recorded in organisations' annual reports to investors and stakeholders.
- ✓ Board members can make extra 'shop floor' visits to gather information for the formal review.
- ✓ Good health and safety performance can be celebrated at central and local level.

Case study – Sainsbury's

Sainsbury's rethought its approach to health and safety after an external audit highlighted the need for a more unified approach across the company. The key element was a health and safety vision, set out by the group HR director and backed by a plan that included targets over three years.

As part of the plan, all board directors were given training on health and safety responsibilities. Health and safety now regularly features on board agendas.

The business benefits include:

- 17% reduction in sickness absence;
- 28% reduction in reportable incidents;
- improved morale and pride in working for the company, as indicated by colleague surveys.

when leadership falls short

When board members do not lead effectively on health and safety management the consequences can be severe. These examples mark issues for all boards to consider.

Competent advice, training and supervision

Following the fatal injury of an employee maintaining machinery at a recycling firm employing approximately 30 people, a company director received a 12-month custodial sentence for manslaughter. The machinery was not properly isolated and started up unexpectedly. An HSE and police investigation revealed there was no safe system of work for maintenance; instruction, training and supervision were inadequate. HSE's investigating principal inspector said: 'Evidence showed that the director chose not to follow the advice of his health and safety advisor and instead adopted a complacent attitude, allowing the standards in his business to fall.'

Monitoring

The managing director of a manufacturing company with around 100 workers was sentenced to 12 months' imprisonment for manslaughter following the death of an employee who became caught in unguarded machinery. The investigation revealed that, had the company adequately maintained guarding around a conveyor, the death would have been avoided. The judge made clear that whether the managing director was aware of the situation was not the issue: he should have known as this was a long-standing problem. An area manager also received a custodial sentence. The company received a substantial fine and had to pay the prosecution's costs.

Risk assessment

A company and its officers were fined a total of £245 000 and ordered to pay costs of £75 500 at Crown Court in relation to the removal of asbestos. The company employed ten, mostly young, temporary workers; they were not trained or equipped to safely remove the asbestos, nor warned of its risk. The directors were also disqualified from holding any company directorship for two years and one year respectively.

Legal liability of individual board members for health and safety failures

If a health and safety offence is committed with the consent or connivance of, or is attributable to any neglect on the part of, any director, manager, secretary or other similar officer of the organisation, then that person (as well as the organisation) can be prosecuted under section 37 of the Health and Safety at Work etc Act 1974.

Recent case law has confirmed that directors cannot avoid a charge of neglect under section 37 by arranging their organisation's business so as to leave them ignorant of circumstances which would trigger their obligation to address health and safety breaches.

Those found guilty are liable for fines and, in some cases, imprisonment. In addition, the Company Directors Disqualification Act 1986, section 2(1), empowers the court to disqualify an individual convicted of an offence in connection with the management of a company. This includes health and safety offences. This power is exercised at the discretion of the court; it requires no additional investigation or evidence.

Individual directors are also potentially liable for other related offences, such as the common law offence of gross negligence manslaughter. Under the common law, gross negligence manslaughter is proved when individual officers of a company (directors or business owners) by their own grossly negligent behaviour cause death. This offence is punishable by a maximum of life imprisonment.

Note: equivalent legislation exists in Northern Ireland, ie article 34A of the Health and Safety at Work (Northern Ireland) Order 1978 and article 3(1) of the Company Directors Disqualification (Northern Ireland) Order 2002.

health and safety leadership checklist

This list is designed to check your status as a *leader* on health and safety. See the resources section for advice and tools that may help you answer these questions.

- How do you demonstrate the board's commitment to health and safety?
- What do you do to ensure appropriate board-level review of health and safety?
- What have you done to ensure your organisation, at all levels including the board, receives competent health and safety advice?
- How are you ensuring all staff – including the board – are sufficiently trained and competent in their health and safety responsibilities?
- How confident are you that your workforce, particularly safety representatives, are consulted properly on health and safety matters, and that their concerns are reaching the appropriate level including, as necessary, the board?
- What systems are in place to ensure your organisation's risks are assessed, and that sensible control measures are established and maintained?
- How well do you know what is happening on the ground, and what audits or assessments are undertaken to inform you about what your organisation and contractors actually do?
- What information does the board receive regularly about health and safety, eg performance data and reports on injuries and work-related ill health?
- What targets have you set to improve health and safety and do you benchmark your performance against others in your sector or beyond?
- Where changes in working arrangements have significant implications for health and safety, how are these brought to the attention of the board?

key resources

A dedicated web page has been created to provide boards and board members with further advice and guidance. It includes links to various publications and websites, as well as online and downloadable versions of this guidance.

The web page can be found at: www.hse.gov.uk/leadership

You can get further information from the following organisations:

Health and Safety Executive (HSE) (www.hse.gov.uk)

- *Successful health and safety management* HSG65 HSE Books 1997 ISBN 978 0 7176 1276 5
- *Leadership for the major hazard industries* Leaflet INDG277(rev1) www.hse.gov.uk/pubns/indg277.pdf
- small businesses
- principles of sensible risk management
- measuring health and safety performance
- competent health and safety assistance
- worker involvement
- case studies and tools
- enforcement

Health and Safety Executive for Northern Ireland (www.hseni.gov.uk)

Institute of Directors (IoD) (www.iod.com)

- dedicated web page at: www.iod.com/hsguide
- *Wellbeing at work: A Director's Guide* IoD 2006 ISBN 978 1 9045 2048 1

Institution of Occupational Safety and Health (IOSH) (www.iosh.co.uk)

- *Questioning performance: The director's essential guide to health, safety and the environment* IOSH ISBN 978 0 901357 37 3
- toolkits
- competent health and safety assistance

Royal Society for the Prevention of Accidents (RoSPA) (www.rospa.com)

- DASH: Director Action on Safety and Health
- GoPoP: Going Public on Performance – measuring and reporting on health and safety performance
- case studies

Trades Union Congress (TUC) (www.tuc.org.uk)

- safety representatives

Business Link (www.businesslink.gov.uk)

- managing health and safety

European Agency for Safety and Health at Work (www.osha.europa.eu)

ABOUT THIS GUIDANCE

This guidance, issued jointly by the Institute of Directors and the Health and Safety Executive, is addressed to directors (and their equivalents) of corporate bodies and of organisations in the public and third sectors. Such organisations are required to comply with health and safety law. Although reference is made to existing legal obligations, following the guidance is not in itself obligatory. However, if you do follow it you will normally be doing enough to help your organisation meet its legal obligations.

In considering the liability of an organisation under the Corporate Manslaughter and Corporate Homicide Act 2007, a jury must consider any breaches of health and safety legislation and may have regard to any health and safety guidance. In addition to other health and safety guidance, this guidance could be a relevant consideration for a jury depending on the circumstances of the particular case.

FURTHER INFORMATION

For information about health and safety, or to report inconsistencies or inaccuracies in this guidance, visit www.hse.gov.uk/. You can view HSE guidance online and order priced publications from the website. HSE priced publications are also available from bookshops.

This leaflet contains notes on good practice which are not compulsory but which you may find helpful in considering what you need to do.

This leaflet is available in priced packs of 5 from HSE Books, ISBN 978 0 7176 6267 8. Single copies are free and a web version can be found at: www.hse.gov.uk/pubns/indg417.pdf.



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REPORT TO: TAY ROAD BRIDGE JOINT BOARD – 5 March 2012
REPORT ON: H.M QUEEN DIAMOND JUBILEE - ADDITIONAL ANNUAL LEAVE – 5 JUNE 2012
REPORT BY: THE BRIDGE MANAGER
REPORT NO: TRB 06- 2012

ITEM No: 8

1 PURPOSE OF REPORT

- 1.1 To obtain the Tay Road Bridge Joint Board's approval of an additional day's Annual Leave in recognition of the H.M. the Queen's Diamond Jubilee on Tuesday 5th June 2012.

2 RECOMMENDATIONS

The Board are asked to approve the granting of one additional day's Annual Leave as outlined below.

3 FINANCIAL IMPLICATIONS

There will be an additional cost of approximately £1,200 resulting from payments for staff who will be required to provide cover for days in lieu granted to essential staff who will not be able to be granted the time off on the 5th June 2012. This additional cost will be met from the existing staffing budget.

4 POLICY IMPLICATIONS

- 4.1 None.

5. COMMENTARY

- 5.1 Her Majesty the Queen will be celebrating her Diamond Jubilee on 5th June 2012.. The UK Government and Scottish Government have announced that an additional holiday will take place on that day and it is up to the individual organisation how they wish to deal with this.

Given that the Bridge is staffed 24 hours per day, with minimum staffing levels, it is not possible to grant an additional day's annual leave to all staff to be taken on the 5th June. To allow the holiday to be applied across the workforce as far as possible, it is proposed that the Joint Board grant an additional day of Annual Leave. Employees are required to apply should they wish to take leave on this day. Applications for leave will be subject to the exigencies of the service

Employees unable to take a day's leave on this date, or those who chose to work, will be entitled to take this additional day at a later date, subject to the exigencies of the service.

6 CONSULTATIONS

- 6.1 The Treasurer, Clerk and Engineer to the Board have been consulted in the preparation of this report.

7 BACKGROUND PAPERS

- 7.1 None

IAIN MACKINNON
BRIDGE MANAGER
2 February 2012

ITEM No:.....

9

Bill Valentine, Chief Bridge Engineer
Trunk Road and Bus Operations

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Bill.Valentine@transportscotland.gsi.gov.uk



COMH-DHAIL
ALBA

TRANSPORT
SCOTLAND

Cllr Andrew Arbuckle
Chairman of Tay Road Bridge Joint Board

Your ref:

Our ref:

Date: 16 January 2012

Dear Cllr Arbuckle

Tay Road Bridge Joint Board

Thank you for your letter of 6 December regarding concerns raised by the Tay Road Bridge workforce following the announcement on the future management and maintenance of the Forth Replacement Crossing (FRC) and the Forth Road Bridge (FRB).

When I attended the meeting with Board officials last September, I explained that a feasibility study had been undertaken to identify the optimum strategy for the future management and maintenance of the FRC and FRB. The feasibility study was commissioned in light of the potential for operational efficiencies and the scope for greater value for money to be gained from one body managing and maintaining both bridges. At that time, I provided assurance that the feasibility work would not involve or affect the Tay Road Bridge Joint Board.

The Minister for Housing and Transport subsequently announced last November the decision to dissolve FETA and to test the market for the FRC and FRB as part of a twin-bridge strategy. This decision was taken following careful evaluation of the options against a number of key criteria, including the ability to protect the FETA workforce through TUPE legislation.

It is clear that a different set of circumstances exist at Tay compared to the Forth. Therefore, there are currently no plans to change the management, ownership or maintenance arrangements of the Tay Road Bridge.

Yours Sincerely

BILL VALENTINE
Chief Bridge Engineer

