REPORT TO: TAY ROAD BRIDGE JOINT BOARD – 7 September 2015

REPORT ON: REPORT ON ANNUAL REVIEW OF STRATEGIC RISK MANAGEMENT

REPORT BY: THE BRIDGE MANAGER

REPORT NO: TRB 15- 2015

ITEM No:_____ 8

1   PURPOSE OF REPORT

1.1   To appraise the Joint Board of the annual review of Strategic Risk Management issues.

2   RECOMMENDATIONS

The Board are asked to note the contents of this Report as at 7 August 2014 and changes made to the Strategic Risk Register given in Appendix A.

3   FINANCIAL IMPLICATIONS

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

4   POLICY IMPLICATIONS

4.1   None.

5.   OUTCOME OF REVIEW

5.1   As part of the ongoing management of risk it was agreed that the Risk Register would be reviewed annually and updated to take account of new or changed risks faced by the Board.

This review was carried out on 11 August 2015 in conjunction with the Insurance and Risk Manager from Dundee City Council and it can be reported that there have been no new major risks identified or any changes to other previously identified risks that require any changes to the Strategic Risk Register. This plan will now cover the period 2015-16.

6   CONSULTATIONS

6.1   The Treasurer, Clerk and Engineer to the Board have been consulted in the preparation of this report and are in agreement with the content.

7   BACKGROUND PAPERS

7.1   None

ALAN HUTCHISON
BRIDGE MANAGER
12 AUGUST 2015

Tay Road Bridge Joint Board

TAY ROAD BRIDGE JOINT BOARD

RISK MANAGEMENT STRATEGIC PLAN

AND STRATEGIC RISK REGISTER

Prepared by:	Alan Hutchison
Reviewed by:	Alan Hutchison/GMcKenzie DCC Risk Manager

Document Reference:	**TRB 09 rev 1**
Approved for Issue:	**Alan Hutchison**
Date: 11 August 2015	Bridge Manager

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1.   **INTRODUCTION**

A working definition of Risk Management would be

"A management discipline through which concerted and co-ordinated action is taken to identify, evaluate and control current and potential causes of loss which could threaten the Board's ability to deliver an efficient and effective service."

Skilled Risk Management offers the Tay Road Bridge Joint Board the prospect of both <u>tangible</u> and <u>intangible</u> benefits, three examples of each are shown below:

Tangible   **Intangible**

- Reduced financial loss   • Better Public Image
- Fewer injuries to staff/public   • Orderly consideration of risk
- Preserved assets
  (bridge/buildings/vehicles/
  equipment)

Intelligent application of Risk Management concepts should serve to reduce the "fear of the unknown". In this way the discipline should be viewed as a catalyst to service delivery rather than viewed as a reason why certain activities cannot be undertaken.

To achieve this vision requires a disciplined approach to risk which percolates through all levels of the Organisation and its numerous operations. In turn, tiers of management require to absorb and apply Risk Management concepts in their every day thinking and actions and in many ways this "cultural change" is the primary objective of this first Risk Management Strategy Plan.

Whilst this objective could have previously been viewed as desirable, the heightened profile of Corporate Governance in Local Government and the increasing external focus by bodies such as Transport Scotland and Audit Scotland on the issue of Organisational Risk Management increasingly demands attainment of the core objective.

2. POLICY STATEMENT

2.1 The Tay Road Bridge Joint Board is committed to the management of risk in order to:-

- Minimise loss, damage or injury to Board employees or members of the public
- Protect Board assets and property
- Preserve and enhance the management and operation of the Tay Road Bridge
- Maintain effective stewardship of public funds
- Promote a favourable corporate image

The efficient management of risk forms part of the Board's overall business objectives. To achieve this, standards and principles will be developed and maintained. This process will involve identification and evaluation of risks to create practical and cost effective means of loss control and avoidance.

Risk management is recognised as a continuous process, demanding awareness and action from employees at every level, to reduce the possibility and impact of injury and loss.

3. RISK MANAGEMENT STRATEGY

The strategy aims to provide a framework for building a sustainable structure that recognisably supports Risk Management across all areas of Board activity and allows for monitoring and reporting on the effectiveness of that management.

Whilst acknowledging the majority of risks are relatively low-level in terms of severity there are in addition significant Strategic or Corporate risks that must also be managed.

3.1 Status

Risk Management should be as much a part of the duties of all employees as are the control of budgets and the deployment of staff and equipment.

It should also be an element of the consultation process prior to altering existing service delivery and/or implementing new initiatives.

If the Board is to satisfy its external scrutiny obligations it will be required to demonstrate that Risk Management is carried out in this systematic and structured manner and be subject to monitoring.

3.2 Management Arrangements

Risk Management needs to be fully integrated with normal management processes. The Bridge Manager is primarily responsible for the management of risk. The Treasurer is required to produce and/or maintain:

- A Risk Register
- A Risk Management Action Plan to address unacceptable risk exposures which have been detailed in the Risk Register
- Monitoring reports as appropriate

3.3 Risk Management Forums

It is acknowledged there can be high level areas of risk which would benefit from a Risk Management forum.

It is proposed where such a need is identified, the forum will be chaired by the Bridge Manager.

3.4 Accountability

Accountability for performance must be an integral part of the Risk Management process. Progress ought to be monitored and the following routine reporting pattern will operate:

The Bridge Manager will report to the Board summarising Risk Management performance and updating the Risk Register on an annual basis.

3.5 Monitoring and Review

Full implementation of this strategy will take time and effort. Similarly, adherence to its requirements on an ongoing basis will require a resource commitment.

In mitigation it should be remembered that significant elements of the strategy are, already being performed.

The implementation and operation of the strategy will be kept under review to ensure both that it is operating effectively and that there are no aspects taking up disproportionate effort.

3.6 **Management Information**

Many aspects of the strategy will be driven by the quality of information available over loss profiles. Risk Management Information is provided under a Service Level Agreement with Dundee City Council.

4. ROLES AND RESPONSIBILITIES

4.1 <u>Board Members</u>

Board Members are responsible for making the strategic decisions affecting the management and operation of the Tay Road Bridge. They are responsible for understanding the strategic risks the Board has to face and be aware of how they are managed.

Board Members main tasks are to:

- Approve the risk management Strategic Plan

- Monitor the reporting of risk management activity

- Approve the annual report on Risk Management performance.

4.2 <u>**Board Officers**</u>

The Bridge Manager is responsible for ensuring risks the Board face are adequately managed. To enable the Bridge Manager to fulfil this responsibility he will liaise with the following Board Officers on the various elements listed below:-

Clerk to the Board	Legal, Contractual and Personnel related Risk
Engineer to the Board	Engineering Risk
Treasurer to the Board	Financial Risk

The Bridge Manager's key tasks will be to:

- Implement the risk management strategic plan.

- Review the Risk Register annually in conjunction with the Clerk, Engineer, Treasurer and Dundee City Council's Risk Manager.

5. Risk Management

5.1 Risk Identification Process

A number of techniques have been used to construct the Board's Risk Register.

The Risk Register identifies strategic and significant operational risks. In addition, an assessment of risk probability coupled with a risk severity analysis is included within the register.

5.2 Risk Prioritisation and Control

Risks identified are prioritised in the following manner:

a   Risk score determined through multiplication of probability and severity scores as follows:-

Score	Probability	Severity
1	Rare	Insignificant
2	Unlikely	Minor
3	Possible	Moderate
4	Likely	Major
5	Certain	Catastrophic

b   Risks are then prioritised using the "Traffic Light System" as indicated below:

Risk Score	Status	Control	Review Timescale
1 to 8	Green	Risk adequately controlled	No specific action required
9 to 16	Amber	Risk partially controlled	Within 24 months
17 to 25	Red	Further control required	Within 12 months

The potential to control risks will be addressed continuously through the upkeep of the Risk Register. Most risks are capable of being managed - by controlling the probability or severity of the risk or both. Very few risks require to be avoided completely.

It is anticipated that many risks will be realigned through this process. It is unrealistic to conceive that at any given time all risks will be "Green" but it will be possible to critically analyse risks with a view to improving their "score".

5.3   Monitoring Arrangements

To avoid stagnation of the Risk register process the following monitoring arrangements are in place.

- risk register to be reviewed annually or at the time of any organisational/legislative changes.

APPENDIX A

Strategic Risk Register

No	Risk Description	Probability (P)	Severity (S)	Inherent Risk (P) x (S)	Existing Controls	Residual Risk	Further Action Required	Responsible Officer	Priority
Risk Category: External									
1	Change of Government with revised policies/strategies	3	4	12	N/A	3x4 =12	None	Clerk Treasurer	Amber
2	Legislative changes e.g. Health & Safety, Environmental, Procurement etc	3	4	12	Maintain awareness of changes to legislation and amend policies and procedures timeously	3x3 = 9	Review and update Policies and Procedures on regular basis	Clerk Bridge Manager Engineer	Amber
3	Effects of changes to Economy – budget limitations etc	3	4	12	Financial planning, monitoring and control systems	3x3 = 9	None	Bridge Manager Treasurer	Amber

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No	Risk Description	Probability (P)	Severity (S)	Inherent Risk (P) x (S)	Existing Controls	Residual Risk	Further Action Required	Responsible Officer	Priority
Risk Category: Operational									
4	Loss of structure/ operational capacity through ship impact	3	5	15	Dundee Port Authority Controls. Insurance Provision of pier protection system at Navigation Spans	1x5 = 5	None	Bridge Manager Engineer	Green
5	Loss of structure/ operational capacity through effects of Dundee City Waterfront Development works	3	5	15	Early involvement in discussions on design/operation and maintenance requirements Asset Protection Agreement with DCC	2x3 = 6	Ongoing review of design and traffic management proposals throughout works	Bridge Manager Engineer	Green
6	Loss of operational capability through loss of bridge/buildings	2	5	10	Frequent inspection/maintenance of assets	2x4 = 8	None	Bridge Manager Engineer	Green
7	Losses through poor governance	3	5	15	Scheme of Delegation / Anti Fraud and Corruption Policy etc in place. Undertake Internal and External Audit	2x5 = 10	Continue to review and apply Governance Policies and Audits	Bridge Manager Treasurer	Green

	Risk				Controls	Score	Further Action	Owner	Status
8	Failure to deliver projects to time and/or cost	3	4	12	Major schemes submitted to Board for approval – None Pending at Present	2x3 = 6	Adopt robust project management procedures including Business Case preparation for schemes in excess of £50,000	Bridge Manager Engineer	Green
9	Lack of financial resources:-	3	3	9	Submission of applications for Grant in Aid to include robust estimates as back up. Monitor and control expenditure against agreed budgets	2x3 = 6	None	Bridge Manager Treasurer	Green
10	Lack of staff resources:- Pandemic Industrial Action Recruitment problems	3	3	9	Business Continuity plans Liaison/Consultation with Staff and Trade Unions on matters affecting staff Monitor/manage staff absences Monitor retiral dates and plan recruitment accordingly	3x2 =6	Review BC plans on regular basis Develop Staff Planning Strategy	Bridge Manager	Green

APPENDIX B
Risk Management Action Plan 2015-16

Subject	Task	Responsibility	Timescale	Update
Strategic	Maintain Risk Management Planning process	Bridge Manager	2012-2014	Ongoing
Operational	Review Risk Register	Bridge Manager	Annually	Ongoing
Operational	Test Business Continuity Plans	Bridge Manager	Annually	Ongoing

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REPORT TO: TAY ROAD BRIDGE JOINT BOARD – 7 SEPTEMBER 2015

REPORT ON: MAINSTREAMING EQUALITY PROGRESS REPORT 2015

REPORT BY: THE BRIDGE MANAGER

REPORT NO: TRB 14 - 2015

ITEM No: 9

1 PURPOSE OF REPORT

To seek Joint Board approval for the publication on the Tay Road Bridge web site of a Mainstreaming Equality Progress Report 2015.

2 RECOMMENDATION

The Committee are asked to approve the publication of the Mainstreaming Equality Progress Report 2015, as per Appendix 1.

3 FINANCIAL IMPLICATIONS

There are no direct financial implications arising from this report.

4 BACKGROUND

The Equality Act 2010 (Specific Duties) (Scotland) Regulations 2012 places a specific duty on the Tay Road Bridge Joint Board to report and publish every two years on the progress made to achieve the equality outcomes identified in the Tay Road Bridge Mainstreaming Equality Report 2013 -2017, and published on the Tay Road Bridge Web site. This report provides a progress update as at August 2015.

5 POLICY IMPLICATIONS

None.

6 CONSULTATION

The Clerk, Treasurer and Engineer have been consulted and are in agreement with the content.

7 BACKGROUND PAPERS

None.

ALAN HUTCHISON
BRIDGE MANAGER
14 AUGUST 2015

Appendix 1- Mainstreaming Equality Progress Report 2015

Tay Road Bridge Joint Board

TAY ROAD BRIDGE JOINT BOARD

Mainstreaming Equality
Progress Report 2015

Prepared by:	Alan Hutchison
Reviewed by:	Alan Hutchison

Document Reference:	**TRB 17A rev 0**
Approved for Issue:	**Alan Hutchison**
Date: 14 August 2015	Bridge Manager

Contents

Item

1.0 Introduction

1.1 The Equality Act 2010 (Specific Duties) (Scotland) Regulations 2012 places a specific duty on the Tay Road Bridge Joint Board to report and publish every two years on the progress made to achieve the equality outcomes identified in the Tay Road Bridge Mainstreaming Equality Report 2013 -2017, and published on the Tay Road Bridge Web site. This report provides a progress update as at August 2015. This report must be read in conjunction with Tay Road Bridge Mainstreaming Equality Report 2013 -2017.

1.2 The progress made as at August 14 2015 against the Tay Road Bridge Joint Board's Equality Outcomes 2013-2017 are set out in Appendix 1 of this report. An update as at August 14 2015 of Employee Monitoring data is included at Appendix 2.

Appendix 1 Tay Road Bridge Joint Board Equality Outcomes Update at August 14 2015

Tay Road Bridge Joint Board
Equality Outcomes

2013-2017
Progress Report at August 14 2015

Equality Outcomes

Outcome	Action Plan Update at August 14 2015	Target Date
1. Ensure Service Delivery meets the needs of all communities	• Engage with local communities to identify barriers – attend workshops/consultation events organised by Dundee City Council (if available) All staff complete mandatory E Learning Modules in Equality and Diversity, and this is recorded in their Training Plans. We are in contact with local specialist interest organisations, including numerous charities, which use The Tay Road Bridge as a means to raise funds. These charities can provide feedback on improvements that can be made to improve our level of service.	April 2014 Complete
	• Offer opportunity for service users to advise of protected characteristics – supply questionnaires with feedback forms Feedback forms are provided to all users of the Tay Road Bridge who require our breakdown service or require other assistance on the Bridge. This form offers the user the opportunity to recommend changes that we could make to improve our service. All Feedback forms are discussed at Management Meeting every one to two months.	Complete
	• Improve accessibility of web services – investigate provision of translation capability via Google Translate or other web based service The Tay Road Bridge will be rolling out an improved Web Site in the Autumn of 2015. This will have a drop down Google Translate facility.	To be complete by Autumn 2015
2. Analyse Equality Information to eliminate any disadvantage	• Establish equality working Group, with assistance from Equalities Officer, Dundee City Council At all Management Meetings there is an Equality agenda item to permit discussion and idea sharing to assist the Tay Road Bridge in providing equal opportunity for everyone.	April 2014 Complete

Appendix 2 Details of Employee Monitoring Data

Table 1

Occupational Segregation Posts Dominated by Males or Females 2015

Post Title	No of Posts	Males	%	Females	%	Total
Bridge Manager	1	1	100	0	0	1
Maintenance Manager	1	1	100	0	0	1
Operational Manager	1	0	0	1	100	1
Bridge Inspector	1	1	100	0	0	1
Bridge Tech-Electrician	1	1	100	0	0	1
Maintenance Officers	6	5	83.3	1	16.7	1
Operational Duty Inspectors	5	5	100	0	0	5
Operational Officers	10	9	90	1	10	10
Administration Assistant	1	0	0	1	100	1
Office Cleaner	1	0	0	1	100	1
Total Number	28	23	82.14	5	17.86	28

Table 2   Job Applicants and Existing Employees broken down by Age for Aug 2014- Aug 2015

Age	Employees in post	Job Applications	Successful Applicants	Part Time - Employees	Full Time - Employees	Training & Development	Annual Employee	Annual Employee Development Review	Employees Lodging Grievance	Employees Subject to Disciplinary Procedures	Leavers excl. Dismissals
Up to 20		5									
21 - 30	<5	21			<5	<5	<5				
31 - 40	<5	16	<5		<5	<5	<5				<5
41 - 50	10	12		<5	8	10	10				
51 - 60	12	5	<5		12	12	12				
61 - 70	<5				<5	<5	<5				
No Entry	<5	<5									

No Entry - Applicant/Employee chose not to answer this question

The Equality and Human Rights Commission guidance states that sub-sets of less than 5 should not be published. The guidance also ensures compliance with the Data Protection Act. Sub-sets of less than 5 are reported as "<5" above.

Table 3   Job Applicants and Existing Employees broken down by Disability for Aug 2014- Aug 2015

Age	Employees In post	Job Applications	Successful Applicants	Part Time - Employees	Full Time - Employees	Training & Development	Annual Employee	Annual Employee Development Review	Employees Lodging Grievance	Employees Subject to Disciplinary Procedures	Leavers excl. Dismissals
Yes		<5	<5	<5		<5	<5	<5			
Yes-No Entry											
Yes- Sensory Impairment											
Yes-Physical Impairment											
Yes-Longstanding Illness or Health Condition											
Yes- Mental Health Condition											
Yes-Other											
Yes-Learning Disability or Cognitive Impairment											
Yes-Prefer not to Answer											
No	27	59	<5	<5	27	28	28				<5
Prefer Not to Answer											
No Entry											

No Entry - Applicant/Employee chose not to answer this question

Table 4

Job Applicants and Existing Employees broken down by Race for Aug 2014- Aug 2015

Race	Employees in post	Job Applications	Successful Applicants	Part Time - Employees	Full Time - Employees	Training & Development	Annual Employee	Annual Employee Development Review	Employees Lodging Grievance	Employees Subject to Disciplinary Procedures	Leavers excl. Dismissals
African-(Inc.Scottish/British)											
African-Other (Inc.Scottish/British)											
Asian-Bangladeshi (Inc.Scottish/British)											
Asian-Chinese (Inc.Scottish/British)											
Asian-Indian (Inc.Scottish/British)											
Asian-Other (Inc.Scottish/British)											
Asian-Pakistani (Inc.Scottish/British)											
Caribbean or Black - Black (Incl.Scottish/British)											
Caribbean or Black - Caribbean (Inc.Scottish/British)											
Caribbean or Black - Other (Inc.Scottish/British)											
Gypsy/Traveller											
Mixed or Multiple Ethnic Group											
No Entry											
Arab-Other (Inc.Scottish/British)											
Arab-Arab (Inc.Scottish/British)											
Other Ethnic Background											
Prefer Not to Answer											
White-Eastern European		<5			<5	<5	<5				
White-Irish		8									
White-Other British	<5	<5									
White-Other White Ethnic Group		51									
White-Scottish	25	51	<5	<5	25	25	25				<5

Table 5

Job Applicants and Existing Employees broken down by Gender for Aug 2014-Aug 2015

Gender	Employees in post	Job Applications	Successful Applicants	Part Time - Employees	Full Time - Employees	Training & Development	Annual Employee	Annual Employee Development Review	Employees Lodging Grievance	Employees Subject to Disciplinary Procedures	Leavers excl. Dismissals
Female	5	<5		<5	<5	5	5				
Male	23	58	<5		23	23	23				
No Entry					9						<5
Other											
Prefer Not to Answer											

Table 6

Job Applicants and Existing Employees broken down by Religion or Belief for Aug 2014-Aug 2015

Religion or Belief	Employees in post	Job Applications	Successful Applicants	Part Time - Employees	Full Time - Employees	Training & Development	Annual Employee	Annual Employee Development Review	Employees Lodging Grievance	Employees Subject to Disciplinary Procedures	Leavers excl. Dismissals
Church of Scotland	10	21	<5	<5	8	10	10				<5
Buddhist											
Hindu											
Jewish											
Muslim	5	12			5	5	5				
No Entry											
None	10	17			10	10	10				
Other Christian					<5	<5	<5				
Other Religion or Belief	<5				<5	<5	<5				
Prefer Not to Answer	<5	12									
Roman Catholic	<5	9			<5	<5	<5				
Sikh											

Table 7

Job Applicants and Existing Employees broken down by Sexual Orientation for Aug 2014-Aug 2015

Gender	Employees in post	Job Applications	Successful Applicants	Part Time - Employees	Full Time - Employees	Training & Development	Annual Employee	Annual Employee Development Review	Employees Lodging Grievance	Employees Subject to Disciplinary Procedures	Leavers excl. Dismissals
Hetrosexual/Straight	28	57	<5	<5	26	28	28				<5
Bi-sexual											
Gay		<5									
Lesbian		<5									
Prefer Not to Answer		<5									

Table 8   Job Applicants and Existing Employees broken down by Marriage/Civil Partnership for Aug 2014-Aug 2015

Marriage/Civil Partnership	Employees in post	Job Applications	Successful Applicants	Part Time - Employees	Full Time - Employees	Training & Development	Annual Employee	Annual Employee Development Review	Employees Lodging Grievance	Employees Subject to Disciplinary Procedures	Leavers excl. Dismissals
Married/Civil Partnership	12	32			12	12	12				<5
Single	<5	10		<5	<5	<5	<5				
Living with Partner	10	12	<5		<5	<5	<5				
Divorced/Separated	<5	<5		<5	<5	<5	<5				
Widowed	<5	<5	<5		<5	<5					
Prefer Not to Answer		<5			<5	<5	<5				

ITEM No: 10

REPORT TO:	TAY ROAD BRIDGE JOINT BOARD – 7 SEPTEMBER 2015
REPORT ON:	COMMUNICATIONS STRATEGY
REPORT BY:	BRIDGE MANAGER
REPORT NO:	TRB 16 - 2015

1   PURPOSE OF REPORT

1.1   To seek Joint Board approval to adopt a Communication Strategy, to include a new logo and web site, in order to help enhance the way that the Board communicate with bridge users, staff members, Board officers and members of the Board.

2   RECOMMENDATIONS

2.1   To instruct the Bridge Manager to implement the recommendations made in the Communications Strategy at Appendix A, and to accept of the design of a new web site and new logo as shown at Appendix B.

3   FINANCIAL IMPLICATIONS

3.1   Costs associated with development of the Communication Strategy have been absorbed by the existing Service Level Agreement with the Communication Division of DCC. Web-site support costs will continue to be included through the Service Level Agreement for IT Services.

3.2   Additional associated one off design cost to be charged to the Service Level Agreement for Communication with DCC as per the following:

Total cost of DCC Design Services associated with the new logo and web site: Total Cost £6000

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   The Communication Strategy will provide a structure to allow the Bridge Manager to raise the profile of the TRBJB within the region by enhancing the accessibility users have to bridge availability information, whilst also successfully presenting the TRBJB as a modern, competent and efficient organisation.

7   BACKGROUND

7.1   The need for a Communication Strategy arose from the wish of the Bridge Manager to be focussed about how clear and concise messages are shared with

all bridge stake holders from one reliable and consistent source. The expected outcome is that it will enhance engagement with all bridge users, help maintain a positive reputation in the region and also develop a well informed and motivated work force. All staff were consulted and were influential during the design process of the proposed new logo, which is intended to convey the organisation's values and be easily recognised by everyone as the Bridge enters its 50th year and beyond.

8   CONSULTATIONS

8.1   The Clerk, Treasurer and Engineer to the Board have been consulted in the preparation of this report and are in agreement with the contents.

9   BACKGROUND PAPERS

9.1   None.

Alan Hutchison
Bridge Manager

12 August 2015

Appendix A

TAY

Tay Road Bridge
Communications Strategy
2015-2018
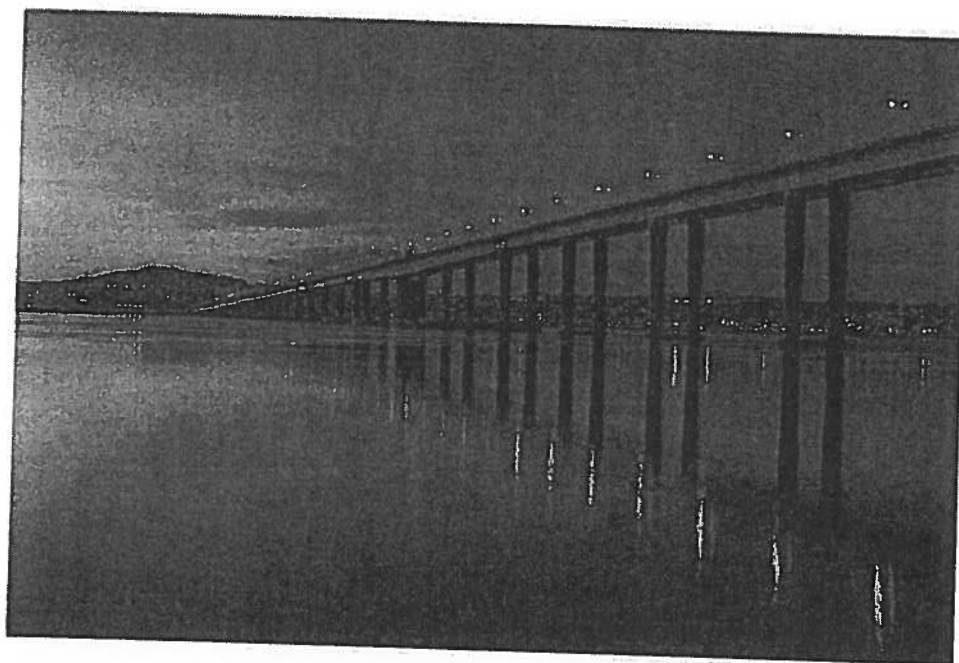
CONTENTS

EXECUTIVE SUMMARY

This new Communications Strategy running from 2015 to 2018 provides a framework to guide the Tay Road Bridge communication activities for the future.

The strategy takes a corporate approach to providing simple, strong, clear and consistent messages from the Bridge to both external and internal audiences. It is about engaging with users, maintaining a positive reputation and developing a well informed workforce.

To communicate successfully, the message must be clear, the process simple and the appropriate combination of communications channels used in each situation. The Tay Road Bridge will use a multiple channel approach considering all the new developments in social media.

Communication with Bridge Users and Partners

These are to move to being more proactive and adopt the principle of openness, transparency and accountability.

Media Relations

The Tay Road Bridge presently maintains a strong relationship with the local media. The strategy will ensure this continues.

Dundee City Council's Corporate Communications team will continue to provide advice and support to staff in regards to public relations.

Internal Messages to Staff

A more structured, pro-active, joined-up and consistent approach to communications with staff will be introduced.

Staff will be given more information on the reasons for change to assist their understanding.

Communications Channels

The website for the Tay Road Bridge will continue to be developed as a critical part of communication with bridge users and external organisations. Dundee City Council will help to further develop its use.

Print and broadcast media will be kept informed of important information concerning the bridge.

A more targeted approach to the use of social media will be introduced with guidance and training provided so individual usage of different forms of social media e.g. twitter etc. can be used by staff to update bridge users about changes at the bridge.

Communication Procedures and Guidance

A series of communication procedures and guidance will be utilised to assist staff in understanding what their actions should be in specific situations. These will be drawn up with guidance and checklists.

1.0 OBJECTIVES OF THE STRATEGY

The communication strategy is designed to provide a clear framework for how the Tay Road Bridge communicates.

1.1 Why is a Communication Strategy Required?

The reason for developing a communication strategy arose from the need for the Tay Road Bridge to be clear and focused about what it is and what it is seeking to do. With an ever changing media climate, staff members must be aware of any implications that may arise from dealing with external communications. This would lead to a happier and well informed workforce.

The strategy will provide a framework to guide communication activities. It provides information on current activity, where the bridge plans to go in the future and actions required to get there. The strategy will direct communications externally including interaction with local communities, the media, partners, emergency services, transport companies and internally with its own employees. It has been developed to inform and educate, and to support consultation on other strategy developments, as well as joint working with partners.

1.2 Communication Strategy Outcomes

Ongoing engagement with bridge users, maintaining a positive reputation and developing a well informed workforce.

1.3 The Communications Strategy's Objectives are to:

- Ensure that users are well informed about updates and changes.

- Assist in achieving the overall vision for the bridge by ensuring that all staff understand what the key priorities are.

- Maintain and develop the framework, standards and relationships necessary to ensure effective communication of Tay Road Bridge activities.

- Maintain and develop internal communication channels to raise staff awareness.

2.0 PRINCIPLES INFLUENCING THE STRATEGY

2.1 General

To communicate successfully the message must be clear, the process simple and the appropriate combination of communication channels used in each situation.

2.2 Context

Staff are responsible for the management and maintenance of the bridge.

Approximately 26,000 vehicles cross the Tay Road Bridge each day. Users need to know up to date information i.e. roadworks, bridge closures. It is vital for communication methods to be fast and clear.

2.3 External Audience Requirements

The Tay Road Bridge needs to clearly communicate its purpose, vision and intended outcomes. This will ensure high quality services are delivered. It is a lifeline to many. Commuters rely on information from the bridge.

This requires a review of the bridge's vision on a regular basis, to adapt to changes in the ever changing communication climate.

2.4 Internal Staff Requirements

Staff communications could be improved. It has been noted that managerial staff are not always using the best forms of communication for their employees. Staff and Officers must work together to achieve a common purpose with clearly defined functions and roles. This will provide a better level of service for customers.

Increased clarity of the vision by improved communication. This will help staff understand how they fit into delivering the Tay Road Bridge's objectives.

2.5 Corporate Approach

The Tay Road Bridge needs to provide a strong, clear and consistent message. This should come from the centre of the organisation, disseminated to both internal and external audiences through everything. This allows feedback from whatever audience it reaches.

The Communications Division at Dundee City Council will act as a consultancy service to the bridge to assist them.

2.6 Multiple Channel Approach

With the ever expanding development of technology allowing new and varied means of communication, both individually and on a world wide basis, the Tay Road Bridge should be able to communicate both with its external audience, as well as its staff, in ever increasing effective ways. This needs to be continually assessed to determine the most appropriate way to pass on specific messages in each individual case. What is the right communication channel for one message or audience group is not for another.

Social media is more personal and as such can help in the move towards the individualisation of messages required to help effective delivery.

3.0 PROCEDURES

3.1 General

Communication is the two way passage of information or an idea, from one person to another. In this advanced technological age there are any number of channels that can be used to communicate from a simple face to face conversation to social medial that can reach millions of people in an instant. The growth of more social, more digital and more mobile communication is taken into consideration in this strategy and the implications of these changes. Each channel is discussed as to where we are presently, where we should be aiming for and the actions required to get there. The main Procedures are also discussed to give clarity as to how they should be followed.

COMMUNICATION FUNCTIONS

Communication Functions are the three major communication activities that are the core of this strategy.

3.2 Consultation with Bridge Users and Partners

PRESENT COMMUNICATIONS

External communications are presently too slow and not reaching all users. More proactive activities are needed to help reinforce this.

FUTURE COMMUNICATIONS

Communications with users, partners, emergency services and transport companies will be more targeted. More communication channels need to be opened up to provide a better service by providing more choice.

The Tay Road Bridge manager will hold meetings with partners to make sure the bridge is communicating well with them and fulfilling their needs.

The website will be updated and improved. Messages will be made clearer and updated on a regular basis.

Outcomes of effective communication with target audiences will be:

- Consistently high levels of user satisfaction

- Greater interaction with users and patrons

- Understanding the priorities by staff

ACTIONS REQUIRED

Agree core messages with the Tay Road Bridge Joint Board and how they should be communicated and reinforced through interaction with every audience.

Build on existing two way communications with users using all available social media channels and improve the website.

Hold regular meetings with partners to improve communications

3.3 Media Relations

PRESENT COMMUNICATIONS

As part of a Service Level Agreement, Dundee City Council's public relations team handle a range of communications for the Tay Road Bridge Joint Board.

The team:

- Proactively seeks out, researches and writes news releases

- Organises press conferences, media briefings and photo calls

- Deals with enquiries from local, regional and national media outlets

- Acts as an internal consultancy offering advice and support

- Manages the public relations aspects of any potential crisis situation

FUTURE COMMUNICATIONS

The primary role of media communications in any organisation is to manage reputation. One of the key tools used to do this is a proactive relationship with local media.

Future actions are to build on current communication activities and increase the level of proactive discussions with the local media.

3.4 Internal Messages to Staff

PRESENT COMMUNICATIONS

Improvements are needed across all areas, particularly involving shift workers. Messages from senior staff are not reaching all of the workforce. By making the relevant changes, it could boost morale.

FUTURE COMMUNICATIONS

Communications influences the perception and performance of employees. Feeling valued and in touch is important to overall satisfaction levels. A planned and sustained flow of quality communications is key to supporting teamwork, commitment and innovation.

More information needs to be supplied corporately to staff on the decisions that are being taken that will influence their work. The outcome of this would be an educated and informed workforce who understand the reasons for change and, in doing so, can become advocates for it.

Best practice and research both suggest that it is vital that the same message is circulated in the appropriate way for all staff. Key messages should be given precedence and reinforced in different ways at different times.

Development of communication plans would use a staff intranet site to provide:

- Staff newsletter

- Staff bulletins/news update

- Board briefings

- Suggestion schemes

- Focus groups/service improvement teams

- Noticeboards, newsletters and IT training

- Regular team/section meetings in which staff have specific communication roles

- Regular employee surveys

ACTIONS REQUIRED

- An audit and review of current internal communication procedures with a view to developing a new comprehensive system for all staff.

- More information for staff highlighting their role for the future.

- Introduce training for staff on communications.

COMMUNICATION CHANNELS

This communication strategy takes the approach that multiple channels are available and should be utilised as appropriate when undertaking any communications.

The following are the specific channels which are critical in how the Tay Road Bridge communicates and how they should be utilised.

3.5 Web Development Plan

The Tay Road Bridge website is one of the most important channels for communication with key target audiences and partners. The aim is to continue to use the website as a source of news about the bridge. How we receive information from the internet is ever changing. It is vital that the Tay Road Bridge adapts to these changes, i.e. using Twitter. The website must also be made mobile friendly for users who are on the go.

3.6 Social Media/Digital Communication

Used appropriately social media can be a powerful and cost-effective tool.

It can be regularly updated to include traffic information and bridge closures. This will reach a larger audience than before.

Social Media does require an entirely different approach from the normal channels of communication. Fast, interactive and almost always unsupervised, these channels require regular monitoring, quick responses and a confident and robust approach by the staff group using them.

ACTIONS REQUIRED

- it should be decided what social media would best suit the aims of the Tay Road Bridge.

- Create a series of protocols to assist staff when they are using social media. Give advice and guidelines as to its various uses and its risks will be drawn up in the near future, with help from Dundee City Council's Corporate Communication Division.

3.7 Corporate Identity

A brand is more than just a logo – it's about an organisation's values and beliefs and how it wants to be perceived. It needs to convey its core values and give a common base for a clear, consistent and unified message.

ACTIONS REQUIRED

- New logo design

- Media promotion of new logo

3.8 Complaints System/Compliments and Suggestions

The Tay Road Bridge is committed to providing a high quality customer service and has a robust complaints handling procedure. Complaints are recorded by phone, in writing via email or on the website. People making complaints are a very important communication channel. We listen to customers and hear what is not right with the services to provide continuous improvements. Responses can help shape the public's view of the bridge in a positive or negative way.

Compliments can also be used and can be highly useful in motivating staff.

ACTIONS REQUIRED

- Procedure put in place so all complaints are regularly reviewed and acted upon by management.

- Procedure put in place that ensures all compliments are passed on to the relevant staff.

- Regular reports are provided to the Bridge Board by management on complaints and compliments.

3.9 Communications with the Tay Road Bridge Manager

Internal communications should be handled directly with the Tay Road Bridge Manager. This will help solve problems and issues much more efficiently.

External communications will be managed by Dundee City Council's Corporate Communications Division.

3.10 Accessible Communications

The Tay Road Bridge will use the principles of:

- Providing alternative formats to increase the available information and advice i.e. easy read version

- Ensuring the website is fully accessible

- Training key front line staff on communication needs and support for protected characteristic groups such as deaf or non English speakers

4.0 MONITORING AND EVALUATION

4.1 It is essential that an outcome based approach is taken to performance managing the Tay Road Bridge communications. Therefore, appropriate performance indicators will be devised that will help to establish whether or not staff are meeting communications objectives with evidence of added value for all the inputs.

4.2 The communications strategy will be monitored and evaluated after one year of implementation to update and improve. The strategy's action plan will be reported to the staff on a regular basis.

4
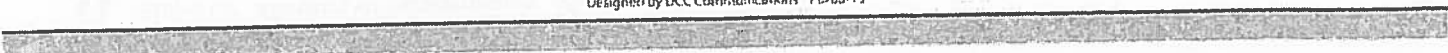
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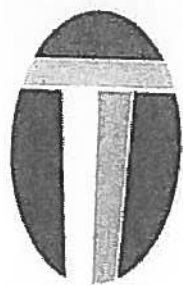
Tay Road Bridge

1966 2016

Tay Road Bridge
50th Anniversary

The Tay Road Bridge spans the River Tay from Fife at the south bank and the City of Dundee at the north. It is managed by the Tay Road Bridge Joint Board with the purpose of making travel between the two as accessible as possible while ensuring safety and convenience at all times.

This new logo is simple, bold, easily recognisable and can be adapted to be used in all mediums - print, signage, vehicle livery, online and offline and is effective in both positive and negative formats

The logo represents the bridge in two ways:

Firstly - the oval reflects a cross section of the support pillars which were designed to minimise resistance to the rivers flow.

Secondly - the distinct profile of the support pillars - tapering from top to bottom - is used to create the vertical stroke of the letter T (which itself is used to signify T for Tay.

The deck and carriageways are represented by the horizontal stroke of the T.

The font used is Museo - available in a variety of weights. The font is strong, modern and stylish and reflects the robust nature of the subject.

The 50th anniversary of the bridge is to be commemorated in 2016 - a simple strapline can easily be added to vehicle livery, online media etc and just as easily removed once the celebration is over
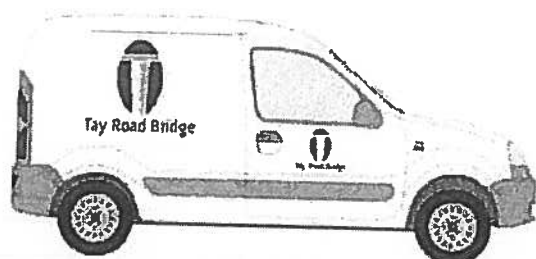
Tay Road Bridge

Key words to describe bridge from staff
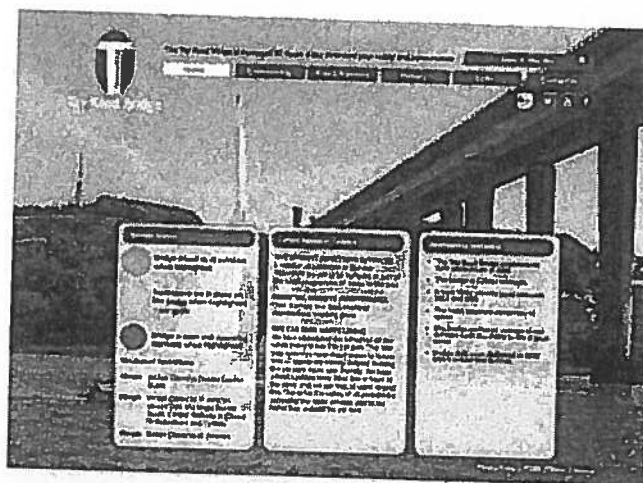
Safe, Strong, Fit for purpose, Progress, Continuity, Connecting

166

Tay Road Bridge

The Tay Road Bridge is managed 24 hours a day to ensure your safety and convenience

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Bridge Status

⬤ Bridge closed to all vehicles when highlighted

◯ Restrictions are in place on the bridge when highlighted - see guide

⬤ Bridge is open and operating normally when highlighted

Windspeed Restrictions

45mph: Bridge Closed to Double Decker Buses

60mph: Bridge Closed to all vehicles except Cars and Single Decker Buses. Central Walkway is Closed to Pedestrians and Cyclists

80mph: Bridge Closed to all Vehicles

Latest News & Tweets

WATERFRONT JUNCTIONS SURFACED
A number of junctions at Dundee Waterfront a e set to be surfaced as part of the latest programme of works in the area.

ESSENTIAL WEBSITE MAINTENANCE
Over the next few days essential maintenance is taking place

FIFE CAR PARK WHITE LINING
We have completed the refresh of all the white lining in our Fife car park. The one way system is now much easier to follow, and all spaces are clearly defined, making the car park more user friendly. We have added a yellow keep clear box in front of the kiosk, and we ask that all users respect this. This is for the safety of all pedestrians accessing the kiosk services and to aid traffic flow around the car park.

Interesting Statistics

- The Tay Road Bridge celebrates its 50th anniversary in 2016
- The bridge is 2250m in length
- It took three years to build between 1963 and 1966
- The main structure comprises 42 spans
- The bridge carries an average of xxx vehicles each day rising to xxx at peak times
- Bridge tolls were abolished in 2008 and it is now free to cross

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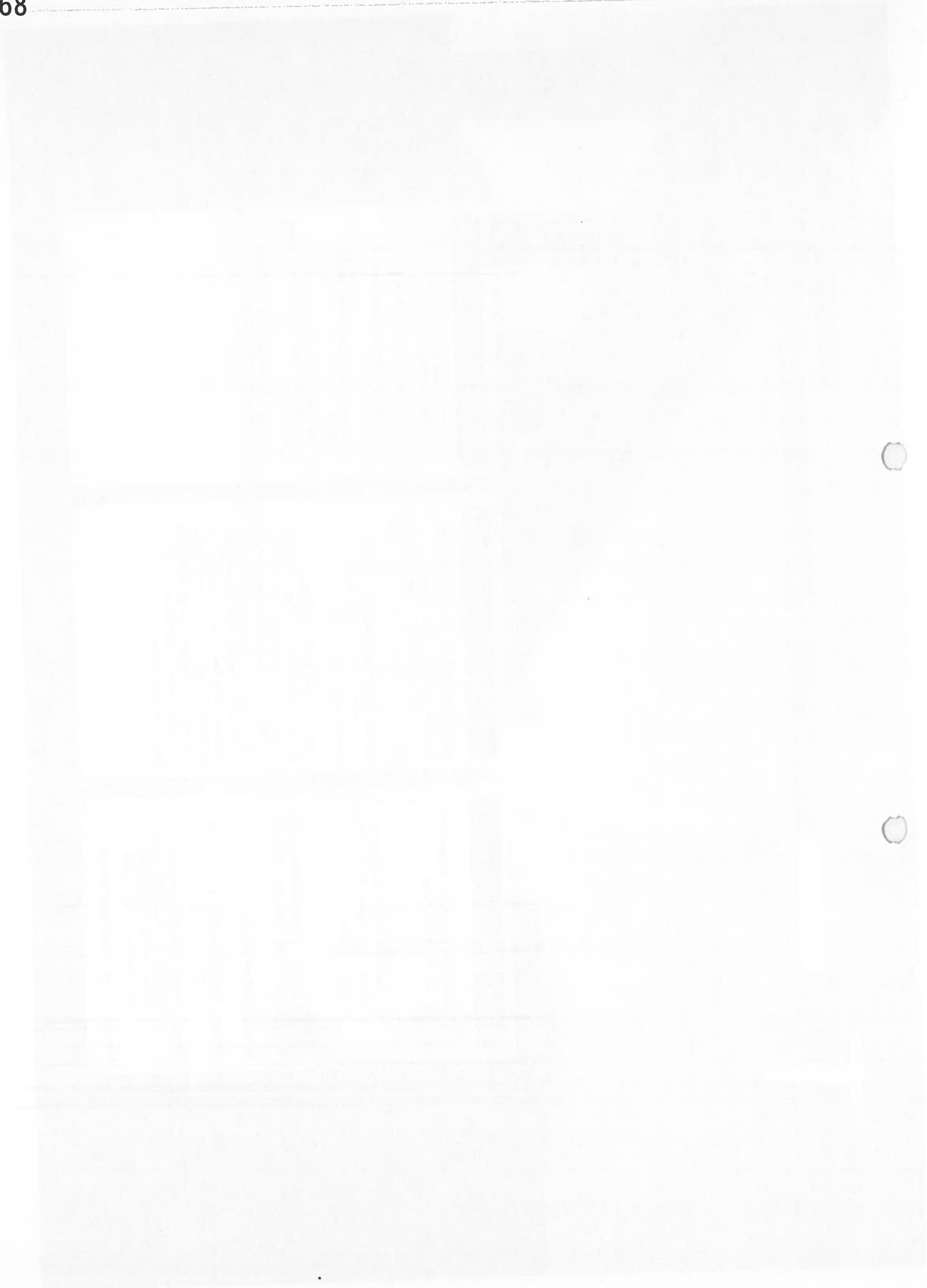
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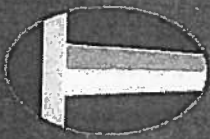
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Engineering

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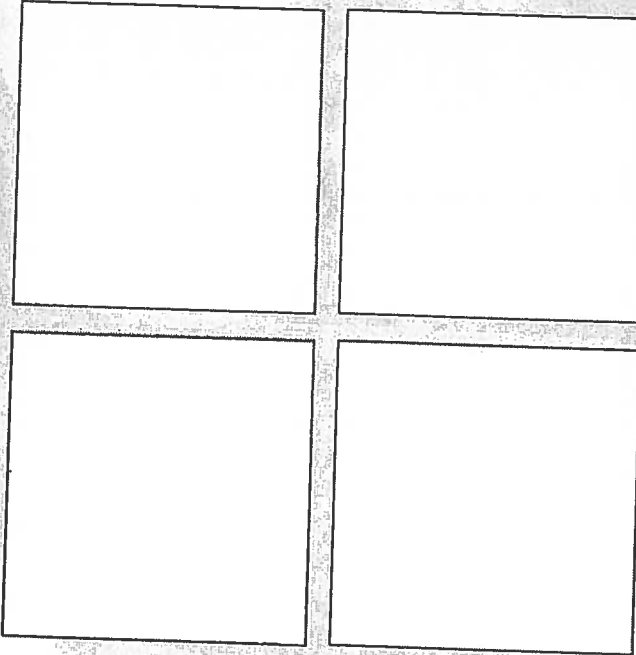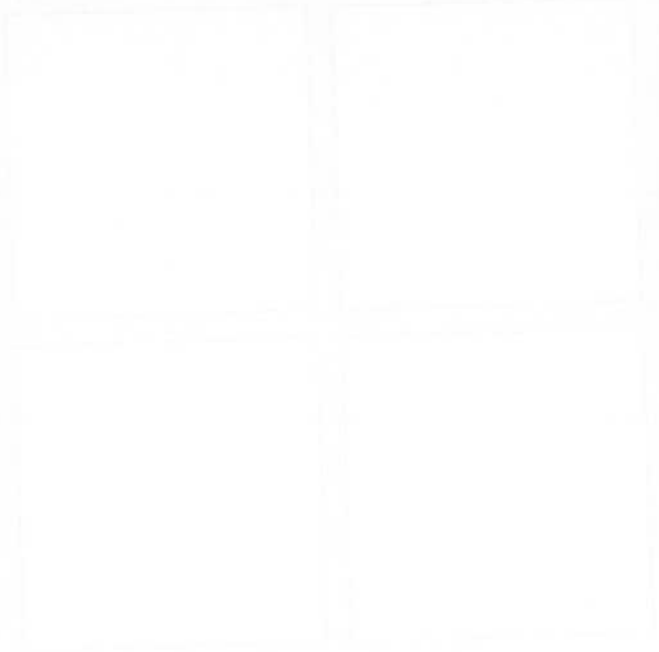
REPORT TO: TAY ROAD BRIDGE JOINT BOARD – 7 SEPTEMBER 2015

REPORT ON: DATA PROTECTION POLICY

REPORT BY: THE BRIDGE MANAGER

REPORT NO: TRB 17 - 2015

ITEM No: L L

1   PURPOSE OF REPORT

To seek Joint Board approval of the introduction of a formal Data Protection Policy, along with the introduction of a handout explaining the Board's data protection responsibilities to be issued to all staff on induction.

2   RECOMMENDATION

The Committee are asked to approve the introduction of a formal Tay Road Bridge Joint Board Data Protection Policy as detailed at Appendix A, and staff induction handout as detailed at Appendix B.

3   FINANCIAL IMPLICATIONS

There are no direct financial implications arising from this report.

4   BACKGROUND

The implementation of a formal Data Protection Act and staff handout fully implements recommendations R3 and R4 as detailed by the Internal Auditors in their Follow-Up Report 2015/05 issued on 20 May 2015.

5   POLICY IMPLICATIONS

None.

6   CONSULTATION

The Clerk, Treasurer and Engineer have been consulted and are in agreement with the content.

7   BACKGROUND PAPERS

None.

ALAN HUTCHISON
BRIDGE MANAGER
12 AUGUST 2015

Appendix A
Data Protection Policy

Tay Road Bridge Joint Board
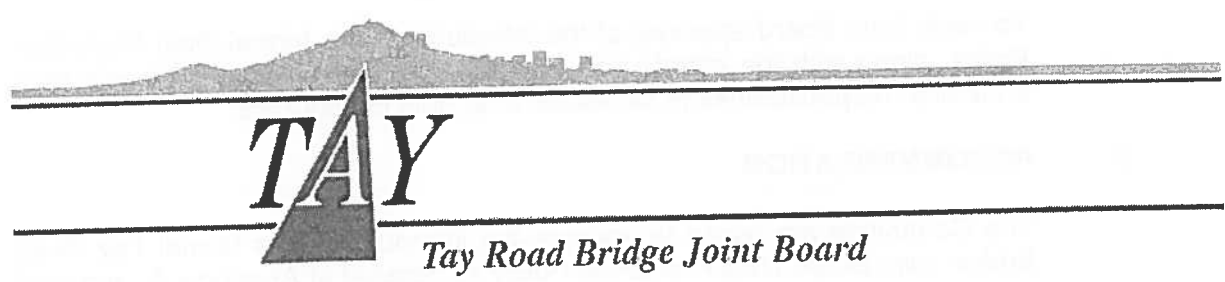
DATA PROTECTION POLICY

Prepared by:	A Hutchison		Document Reference:	**TRB 04 rev 0**
Reviewed by:	K McKaig		Approved for Issue:	**12 August 2015**
			Date:	Bridge Manager

TAY ROAD BRIDGE JOINT BOARD

DATA PROTECTION POLICY

1. INTRODUCTION

In order to carry out is functions the Tay Road Bridge Joint Board needs to collect and use information about people, including members of the public, current, past and prospective employees and suppliers.

The Board is committed to protecting the privacy and rights of all people it holds information about. It regards the fair and lawful treatment of personal information as essential to its operations and to maintaining confidence and trust in the Board. The Board will encourage and promote a culture of awareness of the Data Protection Act 1998 and its guiding principles. It will ensure that it treats personal information lawfully and correctly however it is collected, recorded and used and whether the information is on paper, in computer records or recorded by any other means.

To this end the Board fully endorses and adheres to the Principles of Data Protection as set out in the Data Protection Act 1998 (the Act).

The Data Protection Act 1998 regulates the processing of information relating to living persons in the UK. It requires that data controllers be registered with the UK Information Commissioner and comply with the **eight principles** which are legally enforceable. The Principles require personal data files to be up-to-date and accurate and that procedures are established which enable the Board to fully answer enquiries from persons about the data which the Board holds about them.

Terms of reference within this policy (e.g. 'personal information', 'subject access request') are used with the same intent as the definitions applied within the Data Protection Act 1998.

2. THE DATA PROTECTION PRINCIPLES

Personal information held on or produced by computer (for example, printed paper, digital files, CDs or CCTV), as well as information in paper files, is protected by the Data Protection Act 1998. Under that Act, the personal information held by the Board must be:

- processed fairly and lawfully;
- obtained and processed only for one or more specified lawful purposes;
- adequate, relevant and not excessive;
- accurate and kept up to date;
- not kept for longer than is necessary;
- processed in line with the rights of the person the information is about;
- processed with due regard to security; and
- will not be transferred to a country outside the European Economic Area unless special conditions are met.

3.   **SCOPE**

The data protection policy ('the policy') will apply to all Board Members, Officers and employees.

The policy is applicable to all personal data/information processed by the Board.

It is the Board's policy to fully comply with the Data Protection Act 1998 and all other related statutory, criminal and civil obligations to which the Board is required to adhere. This applies to the retrieval, storage, processing, retention, destruction and disposal of 'personal information'.

The policy will be reviewed every three years and, if appropriate, amended to retain its relevance.

4.   **ROLES AND RESPONSIBILITIES**

The Bridge Manager is responsible for developing, maintaining and administering the data protection policy. He is also responsible for all aspects of compliance with the Act, and associated legislation, and will develop appropriate procedure for the purpose of controlling adherence to the Data Protection Act 1998.

5.   **ROLE OF BOARD MEMBERS, OFFICERS AND EMPLOYEES**

Board Members, Officers and employees will only have access to personal information where that access is essential to their duties.

Employees should discuss with the Bridge Manager any instance where access rights require clarification. Access rights are not to be regarded as permanent and are subject to change at any time depending upon the nature of the duties being fulfilled by an employee.

Employees with access to personal information must be familiar with the requirements of the Data Protection Act 1998. Employees should only record information about an individual which is relevant, and should be aware that they may be required to justify what has been written and be prepared for that information to be released as part of a subject access request.

Board Members, Officers and employees must all follow good practice as indicated by the Data Protection Act when processing personal data.

6.   **ADVICE AND TRAINING**

The Board will provide advice and training for employees to comply with this policy.

7.   **NOTIFICATION**

The Board will ensure that it maintains its Notification entry with the Information Commissioner on an annual basis. A mechanism will be put in

place to ensure the notification entry is reviewed regularly and kept up to date.

8. SUBJECT ACCESS

The Bridge Manager is responsible for processing subject access requests on behalf of the Board. Each individual employee is responsible for passing any subject access requests received to the Bridge Manager as soon as possible.

The Board will endeavour to process all subject access requests within the statutory forty day deadline. Where the Board is unable to process the request within the timeframe, the data subject should be notified as soon as possible of any potential delay, the reasons for such a delay, and the date when their information will be made available.

A fee of £10 will be applicable for subject access requests made by members of the public. The Board will not charge a fee for employees wishing access to information relating to them in the course of their employment.

9. PROCESSING OF PERSONAL INFORMATION

The Data Protection Act applies to personal information processed by any forms of medium, including CCTV images, photographs, and digital images. Any processing of such data must be in accordance with the principles of the Data Protection Act and this policy.

10. COMPLIANCE

The Bridge Manager will be responsible for carrying out a regular review of all areas of the Board to ensure compliance with the policy.

All employees have a responsibility to report suspected breaches of the data protection policy to the Bridge Manager, who will liaise with the Clerk to the Board as to the handling of the breach or potential breach. All breaches or potential breaches ae to be recorded, risk assessed and corrective measures put in place to ensure continued protection of personal data.

Any employee who is found to have inappropriately divulged personal information will be subject to investigation under the Board's disciplinary procedure, which may result in dismissal and possible legal action.

11. DISCLOSURE OF DATA

The Board must ensure that personal information is not disclosed to unauthorised third parties which includes family members, friends, government bodies, and in certain circumstances, the Police. All staff should exercise caution when asked to disclose personal information held on another individual to a third party.

The Guidance attached to this policy contains advice on sharing of personal information and Board Members, Officers and employees must all follow it when considering whether or not to share.

If a request is received from Police Scotland for the disclosure of personal information, for the purposes of prevention and detection of crime, then the

information should only be disclosed where a Police Scotland Request for Disclosure of Personal Data form has been completed and submitted to the Board.

12. INFORMATION SECURITY

All staff are responsible for maintaining appropriate security for the personal data to which they have access to.

13. RETENTION AND DISPOSAL OF DATA

The Board aims to ensure that personal information is not retained for longer than necessary. Personal data must be disposed of in a way that protects the rights and privacy of data subjects such as shredding, disposal as confidential waste, and secure electronic deletion. All systems should be reviewed on a regular basis to identify records which are no longer required and these will be destroyed securely.

Guidance for Staff on Sharing Personal Information

We all have a duty to protect information the Board holds about individuals. This information can include names and addresses for customers or information about members of staff.

The following principles will help staff when making decisions about sharing or using information.

1. Is the sharing justified?

You have to have a good reason for sharing personal information and this must be a reason you can explain.

Do not share information just because you think others have the right to know that information or you like to tell people about what has happened at work. Only share the information where it is necessary and reasonable to do so.

2. Do you have the power to share?

Consider the following:-
- The type of organisation you work for
- Any relevant functions or powers of the Board
- The nature of the information you have been asked to share (for example was it given in confidence?)
- Any legal obligation to share information(for example a statutory requirement or a court order)

3. If you decide to share

Key points to consider:-

- Only share what is necessary
- Share information securely
- Consider if you have to tell the individual that you have shared their information

When it is essential or in the best interest of the person to share, then only the particular facts around the cause for sharing should be given.

4. Record your decision

If you share information you should record:-

- What was shared and for what purpose
- Who it was shared with and when
- Your justification for sharing
- Whether it was shred with or without consent

5. **Access to personal information should be on a strict need to know basis.**

Only those staff members who need access to personal information should have access to it. This could be in order to undertake tasks within their job role, or tasks which they have expressly been given responsibility for.

This applies when sharing information also. You should only share the concerns or information you have with those you consider need to know.

6. **Everyone should understand and comply with the law.**

Every use of personal information must be lawful. The guidance above is drawn from Data Protection Act 1998 and guidance distributed by the Information Commissioners Office. We all have a duty to adhere to principles set out in the law.

Things to Avoid

- Don't mislead individuals about whether you intend to share their information.

- Sharing excessive or irrelevant information about people. For example, routinely sharing details about individuals that are not relevant to the purpose that the information is shared for.

- Sharing personal information when there is no need to do so.

- Not taking reasonable steps to ensure that information is accurate and up to date before you share it.

- Using incompatible information systems to share personal data, resulting in the loss, corruption or degradation of the data.

- Having inappropriate security measures in place leading to loss or unauthorised disclosure of personal details. For example, sending personal data between organisations on an unencrypted memory stick which is then lost or faxing sensitive personal data to a fax machine.

- Sharing information with others that do not need to know that information.

- Accessing systems to get information when there is no intention to use or share information for work purposes.

- Sharing information with persons you do not know or have not been aware of previously in a working capacity unless you are absolutely sure they are who they say they are. For example people telephoning for information, staff should be aware there may be instances that others try to obtain information by deception.

If any doubt staff should speak to the Bridge Manager.

Appendix B
Staff Handout

TAY

Tay Road Bridge Joint Board
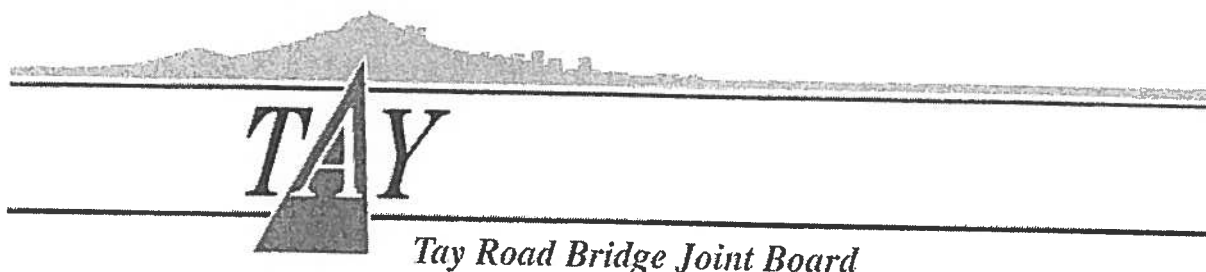
INDUCTION FORM

CONFIDENTIALITY AND DATA PROTECTION

In the course of your employment you may have access to confidential information relating to employees, members of the public and the business and operation of the Board itself. You must respect this and ensure that you do not divulge any information you gain during the course of your work, or use it to gain personal advantage. You must also take care of files, papers, etc and ensure that all documents in your possession are kept in a secure manner. You must at all times respect an individuals personal information in line with the Data Protection Act 1998.

If you use computer systems in the course of your work, you must also take account of the relevant sections of the Computer, Internet and Email Guidelines outlined in your staff handbook.

The Tay Road Bridge Joint Board has a Data Protection Policy and Freedom of Information (FOI) Policy and a copy of these are enclosed.

Signed: ....

Date: ....

REPORT TO: TAY ROAD BRIDGE JOINT BOARD – 7 SEPTEMBER 2015

REPORT ON: FREEDOM OF INFORMATION (SCOTLAND) ACT POLICY

REPORT BY: THE BRIDGE MANAGER

REPORT NO: TRB 18 - 2015

ITEM No:_____12

1   PURPOSE OF REPORT

To seek Joint Board approval for the introduction of a formal Freedom of Information (Scotland) Act Policy, along with the inclusion of a statement in the Board's Scheme of Delegation highlighting the Bridge Manager as the individual responsible for implementing the FoI(S)A at the Board.

2   RECOMMENDATION

The Committee are asked to approve the introduction of a formal Freedom of Information (Scotland) Act Policy as shown at Appendix A, along with the inclusion of a statement in the Board's Scheme of Delegation highlighting the Bridge Manager as the individual responsible for implementing the FoI(S)A at the Board, shown at Appendix B.

3   FINANCIAL IMPLICATIONS

There are no direct financial implications arising from this report.

4   BACKGROUND

The implementation of a formal Freedom of Information (Scotland) Act Policy and inclusion of a statement in the Board's Scheme of Delegation highlighting the individual responsible for implementing the FoI(S)A at the Board, fully implements recommendations R1 and R5 as detailed by the Internal Auditors in their Follow-Up Report 2015/05 issued on 20 May 2015.

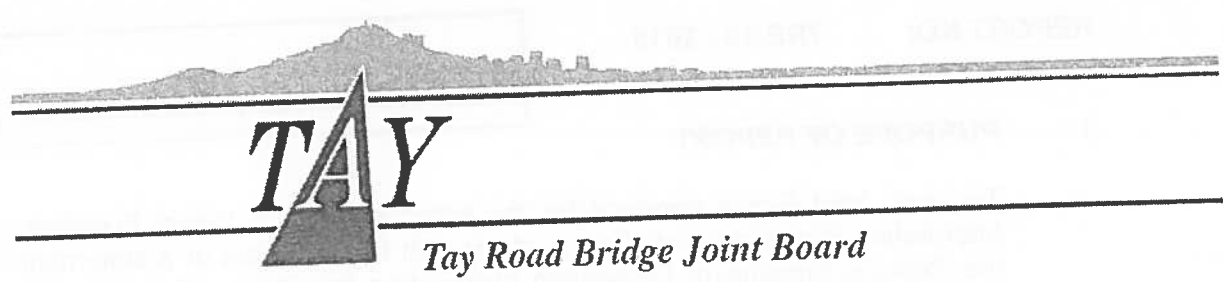## 5   POLICY IMPLICATIONS

None.

6   CONSULTATION

The Clerk, Treasurer and Engineer have been consulted and are in agreement with the content.

7   BACKGROUND PAPERS

None.

ALAN HUTCHISON
BRIDGE MANAGER
12 AUGUST 2015

Appendix A
Freedom of Information Policy

Tay Road Bridge Joint Board

FREEDOM OF INFORMATION POLICY

Prepared by:	A Hutchison
Reviewed by:	K McKaig

Document Reference:	**TRB 05 – rev 0**
Approved for Issue:	**A Hutchison**
Date:	Bridge Manager

INTRODUCTION

The Tay Road Bridge Joint Board ("the Board") is required by The Freedom of Information (Scotland) Act 2002 ("FOISA") to provide the public with a legal right to access any recorded information held by the Board subject to certain exemptions. This policy is designed to provide the policy framework through which the Board can embrace a culture of openness and accountability in line with the provisions and requirements of FOISA.

SCOPE

Overall responsibility within the Board for ensuring adherence to the FOISA lies with the Bridge Manager, with support from the Clerk and other officers of the Board as required. The Bridge Manager monitors compliance with FOISA in capacity as Monitoring Officer.

This Policy applies to all staff in relation to:

- the records they create (whether electronic or manual), receive or maintain on behalf of the Board
- all recorded information held by the Board regardless of format

POLICY STATEMENT

This Policy represents a statement of intent that will:

- Form the basis of the Board's FOISA Strategy
- Define FOISA as a specific corporate function
- Describe the framework for the management of all FOISA requests throughout their lifecycle through their legal conclusion
- Provide all staff with clear guidelines and procedures to implement the FOISA Policy.

GOVERNANCE

This policy will demonstrate the Board's commitment to work within the spirit of FOISA, its related Regulations and Codes of Practice. This policy should be interpreted in conjunction with the Records Management, Data Protection, and ICT Security Policies that together provide the framework for governing recorded information. The Board will endeavour to:

- Ensure that, where appropriate, information will be published through its Publication Scheme and on its website;

- Handle all requests promptly and within the legal timeframe;

- Fairly apply the public interest test in cases where a qualified exemption applies;

- Make employees and contractors aware that it is an offence to prevent disclosure by altering, defacing, blocking, erasing, destroying or concealing any record.

Where valid exemptions apply to a FOISA request eg Data Protection, confidentiality, and protection of commercial interests, the Board will state the reasons why it has withheld all or part of the information.

The Bridge Manager will:

- Ensure that all FOISA procedures and guidance are adhered to and FOISA compliance is monitored;

- Address possible non-adherence to this Policy by Tay Road Bridge Joint Board staff.

STAFF

The Bridge Manager will ensure that they are aware of this Policy, and Procedures or guidance documents made under it.

TRAINING

The Bridge Manager will, in consultation with the TRBJB's DCC HR department partner, establish an effective FOISA Training Programme for all staff. This will include:

- General awareness training at Induction level and ensure all staff complete recognised E-Learning modules every three years or when legislation changes.
- Specialised tiered training for those involved in more complex FOISA requests

The FOISA procedures will complement and support the Records Management and Data Protection Policies and associated procedures.

APPROVAL OF POLICY

This policy will be reviewed every three years to take account of any subsequent changes in the law and procedure or immediately following any substantial legislative amendments, in the event of the Scottish Information Commissioner issuing further guidance or court decisions affecting FOISA legislation.

Appendix B
Staff Handout

Tay Road Bridge Joint Board
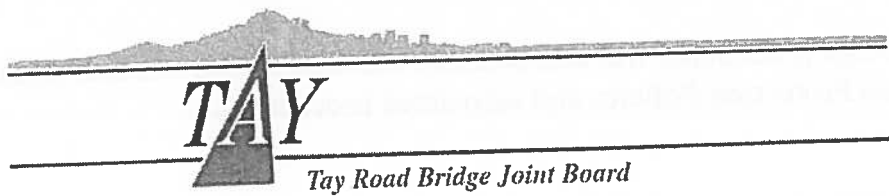
TAY ROAD BRIDGE JOINT BOARD

Scheme of Delegation

Prepared by:		Document Reference:	**TRB 12 rev 0**
Reviewed by:		Approved for Issue:	**Alan Hutchison**
		Date: 7 March 2011	Bridge Manager

TAY ROAD BRIDGE JOINT BOARD

SCHEME OF DELEGATION

SCHEME OF DELEGATION - TAY ROAD BRIDGE JOINT BOARD

The following officers shall have delegated authority from the Board, as follows:-

THE TREASURER

1. Authority to provide advice to the Board on the formulation of policies and strategies in respect of financial matters.

2. Authority to prepare an Annual Unaudited Statement of Accounts and thereafter submit to the Board an Annual Report and Accounts including an audit certificate.

3. Authority to prepare the Board's annual and three year Capital and Revenue Budgets, in conjunction with the Bridge Manager and the Engineer to the Board.

4. Authority to monitor and regulate the Board's Annual Revenue and Capital Budgets.

5. Authority to determine and operate the Board's accounting policies, procedures and records.

6. Authority to liaise with the Board's External Auditors.

7. Authority to write off miscellaneous debts subject to all possible measures to effect collection having been exhausted.

8. Authority to make the necessary arrangements for the Board's banking requirements and their operation thereafter.

9. Authority to order cheques and national giro payment forms and to arrange for their safe custody.

10. Authority to sign cheques and giro's on the Board's accounts.

11. Authority to manage the Board's borrowing and lending arrangements in accordance with the Tay Road Bridge Order Confirmation Act 1991.

12. Authority to ensure an effective Internal Audit function is available to the Board and ensure that appropriate systems of internal control are established and maintained.

13. Authority to enter Board premises or property and to access all records, computer files and other documents and correspondence on financial matters. In so doing he or she may require and receive explanations and answers relating to the matter under examination and require employees to produce cash stores or other property under their control. The Director of Finance may delegate this authority to any member of staff he or she thinks fit.

14. Authority to approve or prescribe the form of time records, pay documents, receipt forms, books and tickets etc.

15. Authority to pay all sums due to creditors subject to the certification and authorisation of appropriate Officers.

16. Authority to take all necessary steps to ensure risks of loss, damage or injury emanating from the Board's functions are properly managed and, where considered necessary, insured against.

17. Authority to provide financial advice regarding the status of companies to be included on the Board's Standing List of Contractors as maintained by Dundee City Council.

18.   Authority to submit all financial returns on behalf of the Board.

THE CLERK

1. Authority to affix the common seal of the Board to any deed or other document to which the Board is a party.

2. Authority to appoint Counsel.

3. Authority to appoint external legal advisers.

4. Authority to defend legal actions raised against the Board.

5. Authority to take necessary action for the recovery of monies due to the Board.

6. Authority to raise, defend and settle legal claims in the Board's best interests.

7. Authority to conclude missives and settle conveyancing transactions.

8. Authority to instruct searches in Property, Personal and Charges Registers.

9. Authority to appoint Sheriff Officers when required.

10. Authority to sign wayleave consents.

11. Authority to deal with all matters relevant to the Data Protection Act on behalf of the Board.

12. Authority to make Temporary Traffic Orders.

13. Authority to open tenders in the absence of the Chairman or Vice Chairman.

THE BRIDGE MANAGER

1. Authority to appoint permanent staff so long as such appointments are within the approved establishment and approved Revenue Budget.

2. Authority to appoint temporary staff so long as such appointments are within the approved Revenue Budget.

3. Authority to authorise any member of staff to attend conferences or courses within the United Kingdom relating to the duties of such member of staff provided expenditure is within the approved Revenue Budget.

4. Authority to take disciplinary action as appropriate, in accordance with the Board's agreed Disciplinary Procedures, including dismissal.

5. Authority to grant paid compassionate leave or unpaid special leave of absence to any employee of the Board.

6. Authority to authorise the temporary use of Board land and property by outside parties subject to the Board's legal and insurance requirements being met.

7. Authority to order emergency works in relation to the operation and maintenance of the bridge up to the value of £50,000 subject to consultation with the Engineer as necessary, advising the Chairman and reporting to the Board as soon as possible thereafter.

8. Authority to order works in addition to the Revenue and Capital budgets to the value of £10,000 subject to consultation with the Treasurer, and advising the Chairman and reporting to the Board as soon as possible thereafter.

9. Authority to select appropriate contractors for tendering for works from the Board's Standing List of Contractors in consultation with the Clerk and the Treasurer.

10. Authority to appoint external consultants to advise on technical matters affecting the operation and maintenance of the bridge in consultation with the Clerk and the Treasurer.

11. Ensure that all FOISA procedures and guidance are adhered to and FOISA compliance is monitored.

THE ENGINEER

1. To advise on and conduct general principal and special inspections of bridge structures.

2. To provide advice to the Board on the formulation of policy and strategies with regard to all major engineering works.

3. Authority to maintain a standing list of contractors in consultation with the Bridge Manager and Treasurer.

4. Authority to provide technical advice in consultation with the Bridge Manager on companies seeking to be included on the Board's Standing List of Contractors as maintained by Dundee City Council.

5. Authority to select appropriate contractors for tendering for works from the Board's Standing List of Contractors in consultation with the Clerk and the Treasurer.

6. Authority to appoint external consultants to advise on technical matters affecting the bridge structure in consultation with the Clerk and the Treasurer.

7. Authority to order emergency works in relation to matters affecting the bridge structure up to the value of £50,000 subject to consultation with the Bridge Manager as necessary, advising the Chairman and reporting to the Board as soon as possible thereafter.

REPORT TO: TAY ROAD BRIDGE JOINT BOARD – 7 SEPTEMBER 2015

REPORT ON: LOCAL GOVERNMENT PENSION SCHEME 2015
EMPLOYING AUTHORITY DISCRETIONS

REPORT BY: TREASURER

REPORT NO: TRB 19 – 2015

ITEM No: 13

1 PURPOSE OF REPORT

This report outlines the discretions available to the Tay Road Bridge Joint Board, as a local government employing authority, following changes in Pension Scheme Regulations and how these will be applied.

2 RECOMMENDATION

The Board are asked to approve the recommendations in Appendix A in respect of discretions to be applied for the Tay Road Bridge Joint Board as employing authority.

3 FINANCIAL IMPLICATIONS

There are no direct financial implications arising from this report.

4 BACKGROUND

The Local Government Pension Scheme in Scotland is being amended from 1st April 2015. As part of these amendments, employing authorities have been given certain discretions. Appendix A shows the discretions available and how they are proposed to be exercised by the Tay Road Bridge Joint Board.

5 POLICY IMPLICATIONS

None.

6 CONSULTATION

The Clerk, Treasurer and Engineer have been consulted and are in agreement with the content.

7 BACKGROUND PAPERS

None.

MARJORY M STEWART
TREASURER

26 AUGUST 2015

APPENDIX A

DISCRETION	RECOMMENDATION
By virtue of Regulation 58 of the LGPS (Scotland) Regulations 2014 and paragraph 2(2) of Schedule 2 to the LGPS (Transitional Provisions and Savings) (Scotland) Regulations 2014, employers are required to prepare and publish a written policy in relation to five specific discretions. These are as follows:-	

1 To Grant Extra Annual Pension of up to £5,000
 	
Whether to grant, at full cost to the employer, extra annual pension of up to £5,000
 	
   • To an active scheme member, or;
   • Within 6 months of their leaving date, to a scheme member whose employment was terminated on the grounds of redundancy or business-efficiency.
 	
[Regulation 30 of the LGPS (Scotland) Regulations 2014 refers]
 	
*values as at 01 April 2015
	Not to be implemented

2 To Voluntarily Contribute to a Shared Cost Additional Pension Contribution Where a scheme member wishes to purchase 'extra' annual pension of up to	Not to be implemented

	No change to Policy
£6,500* by making Additional Pension Contributions, to voluntarily contribute towards the cost of purchasing that 'extra' pension via Shared Cost Additional Pension Contribution (SCAPC). [Regulation 16(2)(e) and 16(4)(d) of the LGPS (Scotland) Regulations 2014 refer] *value as at 01 April 2015	
3 To Permit Flexible Retirement to Scheme Members Aged 55 or Over Who Reduce Their Working Hours or Pay Grade Whether to permit flexible retirement for a scheme member aged 55 or over who, with the agreement of the employer, reduces their working hours to pay grade. [Regulations 29(6) of the LGPS (Scotland) Regulations 2014 refers] If the employer agrees to permit flexible retirement, whether, in addition to the pension benefits that the scheme member has accrued prior to 01 April 2009 (which the scheme member must draw), to permit the scheme member to choose to draw:- • all, part or none of the pension benefits that they accrued after 31 March 2009 and before 01 April 2015, and/or; • all, part or none of the pension benefits that they accrued after 31 March 2015*, and; • whether to waive, in whole or in part, any actuarial reduction which	

would otherwise be applied to the pension benefits taken on flexible retirement before Normal Pension Age.

*[Regulation 11(2) and 11(3) of the LGPS (Transitional Provisions and Savings)(Scotland) Regulations 2014 refer]

4 Applying the 'Rule of 85'

Whether, as the 'Rule of 85' does not (other than on flexible retirement) apply automatically and, in full, to scheme members who would otherwise be subject to it and who (with their employer's consent) choose to voluntarily draw their pension benefits on or after their 55th birthday (and before age 60), to apply the 'Rule of 85' to such members.

[Paragraph 1(1)(c) of Schedule 2 to the LGPS (Transitional Provisions and Savings)(Scotland) Regulations 2014 refers].

Where the employer does not do so, then:

a) if the scheme member has already met the 'Rule of 85', the scheme member's pension benefits are to be reduced in accordance with actuarial guidance issued by the Scottish Ministers, or;

b) if the member has not already met the 'Rule of 85', the scheme member's pension benefits are to be reduced in accordance with

actuarial guidance issued by the Scottish ministers, and; c) the employer can exercise discretion to waive the actuarial reduction (at full cost to the employer) – Discretion 5 below refers.	Not to be implemented
5 To Permit Scheme Members Aged 55 or Over who Voluntarily Retire to Draw Their Pension Benefits Immediately For active scheme members voluntarily retiring on or after their 55th birthday (and before Normal Pension Age) who make an election under Regulations 29(5) of the LPGS (Scotland) Regulations 2014 (with the employer's consent, if under age 60) to immediately draw their pension benefits, and: For deferred scheme members who make an election under Regulation 29(5) of the LGPS (Scotland) Regulations 2014 (with their employer's consent, if under age 60) to immediately draw their pension benefits (other than on ill-health grounds) on or after age 55 and before Normal Pension Age, and: Who **were not** members of the LGPS prior to 01 December 2006, whether to:- a) waive on compassionate grounds, any actuarial reduction that would otherwise be applied to the member's pension benefits, if any, that they had accrued before 01 April 2015, and/or;	Implement subject to the Treasurer being satisfied with the financial implications.

b) to waive, in whole or in part (on any grounds), any actuarial reduction that would otherwise be applied to the pension benefits that they had accrued after 31 March 2015.

Who **were** members of the LGPS prior to 01 December 2006, whether to:

a) to waive, in whole or in part (on any grounds), any actuarial reduction that would otherwise be applied to their pension benefits (accrued during the period pre and post 01 April 2015).